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GOVERNMENT OF PUNJAB

ECONOMIC POLICY AND PLANNING BOARD

DEPARTMENT OF PLANNING

(Vit-Te-Yojana Dhawan, Plot No. 2-0, Sector 33-A Chandigarh)

NOTIFICATION

The 12th August, 2025

No.1/32-Plg.DD(PC)-2025/3028.- The Governor of Punjab is pleased to notify Public Investment Management Guidelines with the objective of institutionalizing a standardized, rigorous approach for the formulation, appraisal and monitoring of public Schemes and Projects in the State.

2. Public Investment Management Guidelines aims at strengthening Public Financial Management, enhancing the efficiency and effectiveness of Public Spending and fostering greater conversions, accountability and transparency.

3. The detailed guidelines on Public Investment Management are attached herewith this notification.

Sd/-

JASPREET TALWAR, IAS

Additional Chief Secretary

to Government of Punjab

Department of Planning

The 11th August, 2025

Public Investment Management Guidelines

Government of Punjab

PUBLIC INVESTMENT MANAGEMENT GUIDELINES
GOVT. OF PUNJAB

1.0 Introduction

1.1 The Government of Punjab is committed to advancing the State's economic, social, and human development through well-designed policies and strategic public interventions. To fulfill this mandate effectively, public expenditure must be carefully prioritized and directed toward Schemes and Projects that: (a) align with policy objectives; (b) focus on measurable outcomes; (c) optimize fiscal efficiency; (d) are based on sound design and evidence-based planning; and (e) incorporate robust monitoring and evaluation mechanisms for continuous feedback and improvement.

1.2 To this end, the State has adopted a Public Investment Management (PIM) framework aimed at strengthening public financial management, enhancing the efficiency and effectiveness of public spending, and fostering greater convergence, accountability, and transparency. PIM seeks to create strong institutional linkages between investment planning, budgeting, and the execution of Schemes and Projects.

1.3 This document sets out the Guidelines for Public Investment Management in Punjab, with the objective of institutionalizing a standardized, rigorous approach for the formulation, appraisal, and monitoring of public Schemes and Projects

2.0 Scope of PIM Guidelines

2.1 PIM Guidelines are applicable for

i. Appraisal of all new Schemes (and any existing Scheme that may be considered for appraisal by the relevant Committee)
ii. Monitoring of all existing and new Schemes
iii. Evaluation of completed Schemes

2.2 Four templates are attached to these guidelines for the same:

i. Appraisal of new Schemes – Annexure A
ii. Mid-term appraisal of existing Scheme – Annexure C
iii. Monitoring Note – Annexure B
iv. Evaluation Note – Annexure D

2.3 PIM Guidelines will cover all public funded Schemes (partially or wholly) in the State of Punjab, regardless of the institutional structure of the implementation

agency. However, Schemes funded under RIDF, EAP, Finance Commission grants, Special Assistance (SACI), Central Sector & Centrally Sponsored Schemes i.e., Schemes governed by separate appraisal and approval mechanisms, will not be appraised under PIM Guidelines. However, they will continue to be monitored under these guidelines.

3.0 Institutional Framework

3.1 The Government of Punjab constituted Public Investment Management (PIM) Unit through its notification No. 1/1-PSPB- RO(PC)-2020/2120 dated 28th May 2020. The PIM Unit consists of a PIM Committee (referred as PIM Steering Committee in these guidelines) and a PIM Division (referred as PIM Cell in these guidelines) as the permanent Secretariat of the PIM Unit, to be housed within the Planning Department.

3.2 As per Memo No. 1/8-Plg.DD (PC)-2025/1464 dated 24th April 2025, issued by the Dept. of Planning, this institutional framework is further extended to include the PIM Standing Committee and the Departmental Committee as well. They will be responsible for the appraisal, monitoring, and evaluation of Schemes of differential budget thresholds. The thresholds for the same may be renotified by the Planning Department at any time.

	Budgeted outlay	**Responsibility**	**Chairperson**	**Meeting Frequency**
I	Less than ₹20 crore	Departmental Committee	Admin Secretary	At least once a month
II	₹20 crore to ₹50 crore	Standing Committee	Finance Secretary/ Planning Secretary	At least once every 2 months
III	Above ₹50 crore & any other Schemes determined to be high priority by the Steering Committee	Steering Committee	Chief Secretary	At least once a quarter

3.3 Hereafter, the term “Relevant Committee” is used to refer to Standing Committee for Schemes > ₹20 Cr and Steering Committee for Schemes > ₹50 Cr.

3.4 PIM Steering Committee:

i. PIM Steering Committee shall consist of the following members:
   - Chief Secretary, Government of Punjab
   - Administrative Secretary, Department of Finance
   - Administrative Secretary, Department of Planning as Member Secretary

ii. The PIM Steering Committee may further invite other officers as required such as:
   - Administrative Secretary of concerned Administrative Department
   - Concerned Head of Department/s (HoD) or Scheme Officers of concerned AD
   - Subject Matter Experts (SMEs) individuals / agencies from the empaneled pool in PIM Cell or outside
   - Officers of other relevant departments as deemed fit.

ii. Roles and Responsibilities of PIM Steering Committee
   - Issue Statewide Public Investment Management Guidelines and Templates
   - Review and vet the strategic relevance of the project ideas of major public investments, in line with the Government's policy priorities
   - Review and vet the concept / pre-feasibility of major public investments, including their design, expected development objectives and impact and affordability, in line with the available fiscal space to make recommendations to the Cabinet
   - Review and vet the detailed project proposal and feasibility study for major projects, including its technical and financial feasibility, its detailed costing, economic and financial analysis and feasibility, the expected return on investment, the compliance with the project preparation guidelines, and the project readiness
   - Approve or reject the Scheme based on Appraisal Note submitted to it by the respective Administrative Department via the PIM Cell
   - Monitor the implementation of strategic projects and centrally sponsored Schemes. Review performance and make recommendations for restructuring and measures to reduce delays and cost overruns or achieve outcomes desired
   - Foster the proactive disclosure of the project's total costs, feasibility studies and M&E report on a central portal.
   - Onboard Subject Matter Experts (SMEs) individuals / agencies from the empaneled pool of Subject Matter Experts (SMEs) individuals / agencies in PIM Cell or outside.

3.5 PIM Cell: The PIM Cell shall act as a permanent secretariat to the PIM Steering & Standing Committees and shall support the Committees to help deliver their mandate and in the development of a vetted pipeline of high impact and ready projects as well as in the implementation of the public investment management reform.

i. Roles and Responsibilities of PIM Cell: More specifically the division would have the following duties
- Support the development of the State Public Investment Guidelines/Templates etc.
- Support the independent appraisal of projects > ₹20 Cr at the different stages and share recommendations with the Relevant Committee.
- Monitor all Schemes > ₹20 Cr on a regular basis and support the monitoring of the same by the Relevant Committee
- Develop and maintain the PIMIS portal. Support the development of a publicly available database of all large projects in the State and foster proactive disclosure of project concepts and appraisals, including the prefeasibility and feasibility studies
- Help address the underperformance of strategic projects by identifying the specific bottlenecks, help resolve them, empower and support project teams and promote cross fertilization and learning
- Provide respective Committees and Departments with technical inputs and recommendations at program, project and major contract level.
- Generate high quality PIM case studies rooted in Punjab's experience and provide training and capacity building for Departmental officers on Appraisal/Monitoring notes/processes and PIM concepts and guidelines
- Other tasks related to the assignment, as required by the PIM Steering Committee

ii. Composition: The PIM Cell should be composed of staff with expertise and experience on project appraisal and budgeting and complemented by technical consultants with previous experience in managing large and complex investment and infrastructure projects. The Cell may comprise of staff on deputation from other Departments or independent consultants or subject matter experts onboarded by the Planning Department as required.

3.6 PIM Standing Committee: The composition of the Standing Committee will be the same as that of the Steering Committee with the exception of the Chief Secretary.

3.7 PIM Departmental Committee:

i. The composition of the Departmental Committee should be as follows but may be modified by the Department as required for administrative efficiency:
   - Administrative Secretary, concerned Departments
   - HOD
   - Scheme Manager
   - Representatives of Finance Department
   - Representatives of other relevant Departments.
   - External Subject Matter Experts

3.8 The roles and responsibilities of the Standing Committee and Departmental Committee will be the same as that of the Steering Committee for their respective Scheme categories.

4.0 Scheme Appraisal

4.1 The purpose of project appraisal in public investment projects/Schemes is to ensure that proposed investments are economically justified, fiscally responsible, targeted towards clear outcomes, and aligned with the state's development priorities. Further, appraisal serves as a critical filter to assess a project's strategic relevance, technical feasibility, financial viability, environmental and social impact, and cost-effectiveness before it is approved for funding. It provides decision-makers with objective evidence to prioritize projects that deliver the highest value for public money, reduce implementation risks, and avoid cost overruns or duplication. A strong appraisal process thereby strengthens transparency, accountability, outcome-orientation, and long-term fiscal sustainability in public infrastructure planning.

4.2 The following appraisal procedure should be adhered to for appraisal of all Schemes > ₹20 Cr by the relevant Standing Committee/Steering Committee:

i. New Schemes
ii. Existing Schemes with significant alterations or cost increases or strategic importance which may be selected for a fresh appraisal by the Relevant Committee

4.3 The guidelines for the appraisal procedure shall be as follows:

i. The Administrative Department shall send the Appraisal note to the PIM Cell as per the format in Annexure A
ii. The PIM Cell shall conduct an independent appraisal and submit the report to the relevant Steering Committee/Standing Committee as the

case may be, along with the Scheme Memorandum containing key aspects of the proposal for approval. The PIM Cell may take a maximum of 3 weeks for the same.

iii. The Relevant Committee shall review the proposal and approve or reject the Scheme within 3 weeks of receiving the appraisal report from the PIM Cell.

iv. The Relevant Committee may also send it back to the Administrative Department to incorporate suggestions or comments. The amended proposal must be returned within 3 weeks. The amended proposal may be sent directly to the Relevant Committee – but with intimation to the PIM Cell.

v. The integration of appraisal with Budgetary allocation is essential. Therefore, Budgetary allocation by Finance Department may only be provided after appraisal & approval by the Relevant Committee

vi. Only after approval of the Scheme/Project by the Competent Authority, the Administrative Department shall issue detailed Scheme Guidelines clearly mentioning target beneficiary along-with benefit, mode of implementation, as well as roles and responsibilities of various implementing authorities

vii. The Relevant Committee may, even after appraising and approving a project, call for the appraisal of the DPR (Detailed Project Report) where deemed necessary

4.4 Mid Term Appraisal

i. The PIM Cell shall also inform the Steering Committee of projects with significant alterations or cost increases >20% or where it receives a reference from the concerned Administrative Department. The Steering Committee may then select such projects (or any other projects of strategic importance) for a Mid-Term Appraisal. The process for this shall the remain as above. The template for Mid-Term Appraisal Note is in Annexure C

ii. Based on the mid-term appraisal report, the Steering Committee may make recommendations accordingly. This may include, as required, instructions to terminate the project, modify financial/budgetary allocation, re-initiate procurement processes, modify the design of the Scheme etc.

4.5 The appraisal procedure by the Departmental Committee for Schemes < ₹20 Cr is left to the discretion of the Administrative Department.

4.6 Handling of Cost Escalations: Schemes that have already been appraised and approved may be subject to fresh appraisal and approval if there is a significant increase in the estimated cost. Any increase in cost exceeding 20% of the

previously approved cost estimate, arising due to time overruns, changes in scope, under-estimation, or implementation delays, may require reappraisal by the relevant Standing/Steering Committee and approval from the competent authority. If the cost estimates of approved Schemes increase and move into a higher category bracket, the Scheme must be reappraised and reapproved by the corresponding higher-level committee before any further expenditure is incurred. However, increases solely attributable to statutory levies, exchange rate variations, or price escalation within the originally approved implementation timeline may not require reappraisal, provided they remain within 20% of the original cost.

4.7 Preparatory Phase (if required): For category III Schemes (with outlay above ₹50 crore), a Readiness Filter may be applied, which ensures that only Schemes with adequate preparation – such as feasibility reports, DPRs, stakeholder alignment – are recommended for inclusion in the annual budget. This aims to prevent premature allocations and fiscal efficiencies. The PIM Cell and relevant appraisal committee may exercise discretion on case-to-case basis in applying the Readiness Filter.

4.8 Pre-investment activities under the Preparatory phase may include the following:

i. Preparation of Feasibility Reports and Detailed Project Reports (DPRs)
ii. Pilot Experiments/Studies for Schemes
iii. Stakeholder consultations
iv. Survey/Investigation required for large projects
v. Environmental and Social Impact Assessments and preparation of Environment Management Plans
vi. Statutory clearances such as forestry and wildlife approvals, compensatory afforestation and conversion of forest land
vii. Site development activities such as construction of boundary wall, access roads, minor bridges or culverts, site offices, temporary facilities and basic utilities (e.g., water- power lines)

4.9 To support these activities, a Scheme Preparatory Fund may be established in the Finance Department to support these pre-investment activities. The Administrative Department (AD) may request to the Finance Department for allocation of preparatory funds. The Finance Department (FD) may allocate such funds on a case-to-case basis.

5.0 Scheme Monitoring

5.1 The Relevant Committee (Standing/Screening Committee) is responsible for not just appraisal but also monitoring of Schemes and resolution of inter-Departmental challenges under their jurisdiction from time to time. In this phase, the Relevant Committee needs to track the critical KPIs of the project, identifying deviations (if any), resource utilization, and prospects of continuous improvement.

5.2 It should be ensured that monitoring covers each of the following:

i. **Procedural monitoring** including completion of processes such as publication of guidelines, tender and or procurement processes etc.
ii. **Physical monitoring** including recording and tracking physical progress (construction, infrastructure, delivery of goods etc.) of the Scheme on the ground
iii. **Financial monitoring** with respect to expenditure utilization and adherence to cost estimates
iv. **KPI monitoring** to ensure accountability to clearly defined and independently measured output and outcome indicators that were identified at the time of Scheme appraisal

5.3 The following guidelines may be adhered to as a part of the monitoring process for Schemes > ₹20 Cr:

i. The PIM Cell is responsible for day-to-day monitoring and tracking of all Schemes. The PIM Cell shall develop and maintain an online portal & dashboard for the same – PIM Information System (PIMIS) under the overall supervision of the Planning Department. The system should track all the aforementioned KPIs and phases and trigger appropriate notifications automatically. It should also prepare automated reports for the consideration of the Relevant Committee. The system should also eventually digitize the workflow of all PIM processes related to appraisal, monitoring, and evaluation.
ii. Till such time that the PIMIS is fully functional, the Administrative Department may prepare a Monitoring Note as per the format provided in Annexure B. Over time, all monitoring activities should be fully integrated into the PIMIS
iii. Ideally, all Schemes must be monitored by the Relevant Committee at least once a quarter. Further, all Schemes must undergo a mandatory mid-term monitoring by the Relevant Committee upon reaching either 50% of financial disbursal or 50% of physical progress or 50% of implementation timeline, whichever is earlier.

iv. The Relevant Committee may also advise the Administrative Department to ensure independent concurrent monitoring processes as required for specific Schemes.

v. Monitoring by the Departmental Committee for Schemes < ₹20 Cr is left to the discretion of the Administrative Department.

6.0 Scheme Evaluation

6.1 Post completion of a Scheme/project, evaluation is essential to assess whether the project has achieved its intended outcomes, delivered value for money, and adhered to timelines, budgets, and quality standards. Evaluation provides critical insights into a project's effectiveness, efficiency, sustainability, and impact on target beneficiaries, helping policymakers understand what worked, what didn't, and why. It also supports evidence-based decision-making, enables course correction in future investments, and promotes accountability and institutional learning by systematically capturing lessons that can improve the design and implementation of subsequent projects or Schemes.

i. The PIM Cell (jointly in collaboration with the relevant Administrative Department) will endeavor to compile a preliminary evaluation report of all Schemes under its jurisdiction after completion/closure of a Scheme. The template in Annexure D may be used for the same

ii. Independent third-party evaluation (even mid-term evaluation if necessary) should also be considered for critical Schemes and may be directed as such by the Relevant Committee. In such cases, the PIM Cell will coordinate the third-party evaluation as required. Such analyses may be funded by the concerned Administrative Department's or Planning Department's budgetary resources.

iii. The Planning Department should look to empanel vendors for third-party evaluation to be leveraged on an as-needs basis.

iv. Schemes completed during 2024 and afterwards should automatically move into evaluation phase. Related new projects from 2025 onwards should be formulated based on evaluation of older Schemes

7.0 Amendments to PIM Guidelines

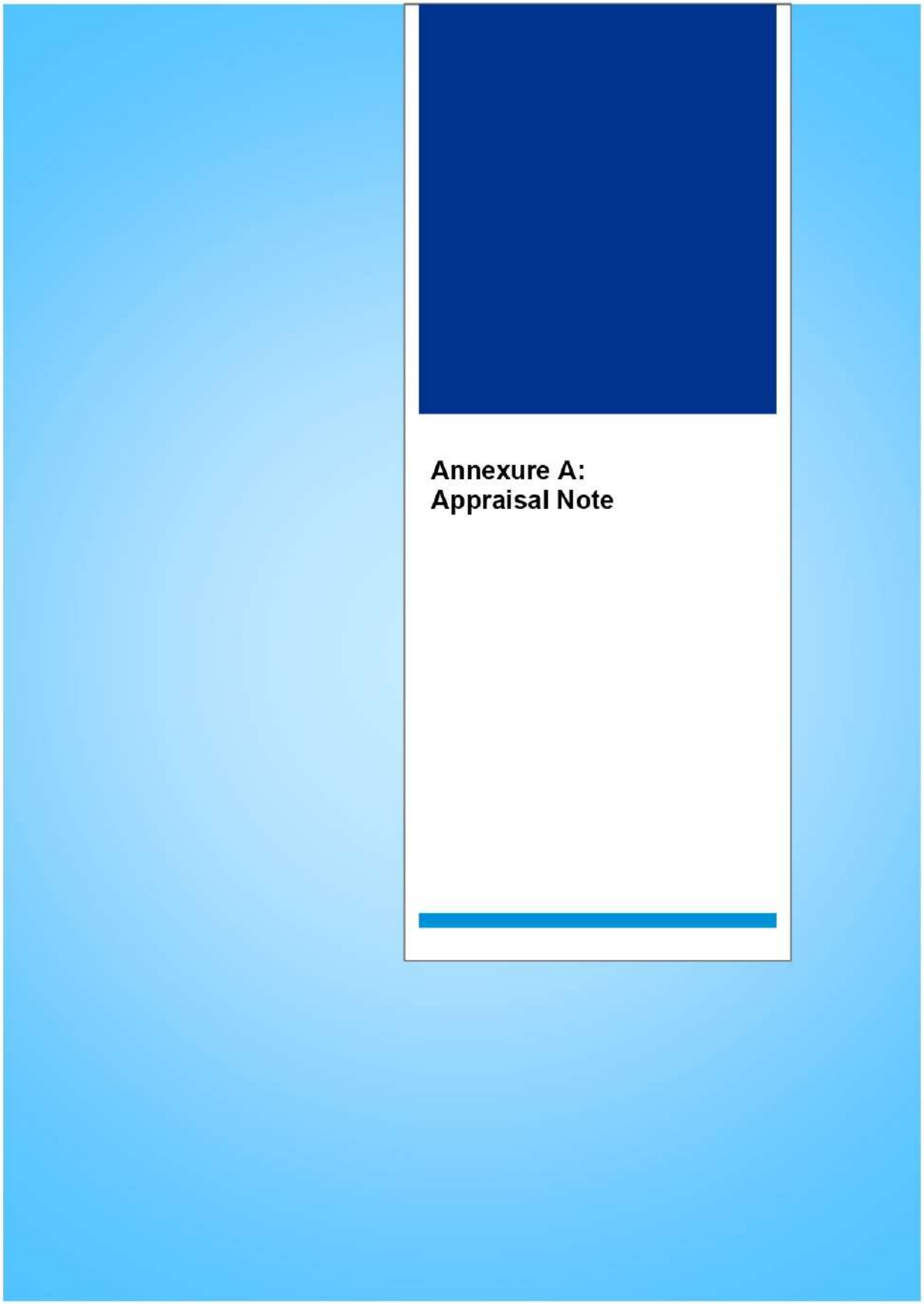
7.1 PIM Guidelines may be updated from time to time as required based on the administrative experience over time. Planning Department may, in consultation with Administrative Departments, collate feedback on operational constraints, implementation learnings and suggest amendments accordingly. An Annual Implementation Review Report may also be placed before the PIM Steering Committee summarizing performance against key provisions of these guidelines.

These Guidelines should be used in conjunction with the Laws and Regulations as applicable, and other guidance issued periodically by the Planning Department (PD), Government of Punjab (GoP).

Annexures to PIM Guidelines

Contents

A	Annexure A: Appraisal Note	3
B	Annexure B: Monitoring Note	16
C	Annexure C: Mid-Term Appraisal Note	23
D	Annexure D: Evaluation Note	33
E	Annexure E: Description to fill Appraisal Note	38
F	Annexure F: Description to fill Mid-Term Appraisal Note	72
G	Annexure G: Description to fill Evaluation Note	98


Annexure A:
Appraisal Note

A Annexure A: Appraisal Note

All the fields marked with an asterisk (*) are to be filled for Schemes with small and medium budget (<50 crore).

A.1 Executive Information and Scheme Profile

This section provides a summary of key scheme details. Fill this section after completing the rest of the template with concise responses.

Ref	Parameter/ Response (Refer to Annexure D for detailed guidance)
1.1*	**Name of Implementation Agency and Sponsoring Administrative Department (AD)**
1.2*	**Scheme ID Number**
1.3*	**a. Scheme Title**
	b. Date of Submission
1.4*	**Description of the Scheme** *(Provide a 2-3 lines summary of the scheme and its objectives.)*
1.5*	**Sector and Scheme Classification** *(Indicate the sector (e.g., Health, Education) and the sub-sector of the scheme (e.g., Roads, medical infrastructure, school equipment, IT infrastructure etc.)*
	Sector ☐ Agriculture and Animal Husbandry ☐ Housing and Urban Development ☐ Food and Civil supplies ☐ Education ☐ Health & Family welfare ☐ Industries ☐ Labour ☐ Infrastructure (transport, water resources and supply, power, waste water, etc.) ☐ Planning ☐ Rural development ☐ Social Welfare ☐ Sports ☐ Technology & Innovation ☐ Defence ☐ Environment, Forest and wildlife ☐ Renewable energy ☐ Tourism ☐ Others _____

Ref	Parameter/ Response (Refer to Annexure D for detailed guidance)
	Scheme Classification: _____
1.6*	**Scheme Type:**
	☐ New Scheme ☐ Extension of ongoing or similar Scheme
1.7*	**Estimated Start Date** *(For scheme where feasibility is not required, the start date is when the Procurement Notice is published. For schemes requiring feasibility studies, the start date is when the Feasibility Study begins.)*
1.8*	**Estimated Operationalization Date and Duration** *(Estimated date when the scheme becomes operational and the scheme duration, meaning the validity of the scheme.)*
1.9*	**Total Estimated Cost (Capital Expenditure and Revenue Expenditure)** *(The estimated total cost which includes investments and day-to-day expenses.)*
	• Capital Expenditure (in ₹ crore): • Revenue Expenditure (in ₹ crore):
1.10	**Is Public Private Partnership (PPP) a feasible approach for this scheme?**
	☐ Yes ☐ No Reason _____

A.2 Justification, Objective and Relevance

It provides the rationale behind the scheme, outlines its main objectives, and highlights its relevance to the broader goals or needs it aims to address.

Ref	Parameter/ Response (Refer to Annexure for detailed guidance)
2.1	**a. *Why does this scheme need to be implemented?** *(Provide a detailed justification for the scheme, including data/facts/figures about the problem statement and its scale, how the specific solution proposed addresses the specific problem, and what objectives will be achieved.*
	b. What are the alternative options to achieve planned objectives and desired outcomes of this Scheme?

Annexure A: Appraisal Note

Ref	Parameter/ Response (Refer to Annexure for detailed guidance)
	c. Has the Department evaluated these alternative options? Explain how the proposed solution is more efficient than other options.
	d. Are there any similar or overlapping schemes by the State or Government of India? *(If yes, specify the scheme along with its scheme number. Explain why this scheme cannot be included/ subsumed under existing schemes and justify the need for a separate scheme.)*
2.2*	**What are the intended inputs (resources required), outputs (results expected from applying the inputs) and outcomes (long-term benefits). Outcomes should be outlined for both direct beneficiaries of the scheme and the overall socio-economic impact of the scheme.** *(Describes the Key Performance Indicators (KPIs) of inputs, outputs (deliverables) and outcomes. KPIs should be objective and clearly measurable. For each KPI, also provide the method of measurement and validation. Refer to the example in the Annexure.)*

Input KPIs*

KPI	*Measurement Unit*	*Baseline*	*Target*	*Method of measurement*	*Data Source*	*Validation*

Output KPIs^

KPI	*Measurement Unit*	*Baseline*	*Target*	*Method of measurement*	*Data Source*	*Frequency of Measurement*	*Validation*

Outcomes

(These are intended outcomes identified at the onset of the scheme. These should be linked to the larger goals outlined in the state's five-year agenda. Departments should plan for mid-term reviews to ensure alignment between scheme objectives and outcomes.)

KPI	*Measurement Unit*	*Baseline*	*Target*	*Method of measurement*	*Data Source*	*Frequency of Measurement*	*Validation*

Wider socio-economic impact

KPI	*Measurement Unit*	*Baseline*	*Target*	*Method of measurement*	*Data Source*	*Frequency of Measurement*	*Validation*

Annexure A: Appraisal Note

<table>
<tr><th>Ref</th><th>Parameter/
Response (Refer to Annexure for detailed guidance)</th></tr>
<tr><td rowspan="8">2.3</td><td>Beneficiary Details:
(Schemes can have specific, pre-identified beneficiaries (e.g., students receiving scholarships, BPL families receiving welfare benefits) or larger prospective beneficiaries (e.g., a road scheme that benefits all commuters, a hospital that serves the public.))

a. Specific Beneficiaries</td></tr>
<tr><td>1. * Who are the intended beneficiaries of the scheme, and how many?</td></tr>
<tr><td></td></tr>
<tr><td>2. * How are the beneficiaries selected?</td></tr>
<tr><td></td></tr>
<tr><td>3. How is the department ensuring all beneficiary data especially, eligibility criteria, are being digitally validated and cross-verified with other departments to minimise human discretion and prevent inclusion errors?</td></tr>
<tr><td></td></tr>
<tr><td>4. Similarly, how has the Department ensured that no beneficiary is excluded?</td></tr>
<tr><td></td></tr>
<tr><td rowspan="3"></td><td>b. Prospective Larger Beneficiaries</td></tr>
<tr><td>Which population groups or regions are expected to benefit from this scheme?</td></tr>
<tr><td></td></tr>
<tr><td>2.4</td><td>Has the impact on following demographics assessed during Scheme Design? Provide details of the assessment.
• Below Poverty Line (BPL) population
• Children (up to 18 years)
• Women
• People with disabilities</td></tr>
<tr><td></td><td>
<table>
<tr><th>Population Group</th><th>Impact Considered?</th><th>Details & Special Provisions</th></tr>
<tr><td>Below Poverty Line (BPL) Population</td><td>Yes/No</td><td></td></tr>
<tr><td>Children (up to 18 years)</td><td>Yes/No</td><td></td></tr>
<tr><td>Women</td><td>Yes/No</td><td></td></tr>
<tr><td>People with Disabilities</td><td>Yes/No</td><td></td></tr>
<tr><td>Others</td><td>Yes/No</td><td></td></tr>
</table>
</td></tr>
</table>

A.3 Financial and Economic Information

Annexure A: Appraisal Note

In this section, estimates must be shown for all capital and revenue expenditure necessary to realize the scheme. (All amounts in ₹).

It is recognized that in larger schemes, it is more difficult to estimate costs at an early stage prior to feasibility studies being made, however 'best endeavours' should be employed using precedent costs and as a principle should aim to include more contingency to cover unknown future costs.

Ref	Parameter/ Response (Refer to Annexure for detailed guidance)
3.1*	**Annual Funding Requirement** *(Specify the scheme's yearly funding requirements, including feasibility study costs in the first year.)*

Financial Year	Capital Expenditure	Revenue Expenditure	Total Costs

3.2	**Estimated Total Capital Expenditure to complete the scheme (CAPEX)** *(Provide the total estimated capital expenditure for scheme completion in the table. This table outlines major CAPEX categories; Department may add additional heads, if needed or enter NA, if not applicable)*

Category	Description	Estimated cost
Building & Construction	Civil works, site development, structural construction	
Hardware & Software	Procurement of IT infrastructure, software development, cloud services	
Machinery & Equipment	Procurement of specialized equipment, operational machinery	
Land & Property	Land acquisition, property development	
Research & Development	Feasibility studies, surveys, design and prototyping	
Other (specify)	Architectural plans, structural engineering	
Total		

3.3	**Estimated Revenue Expenditure** *(Provide the total estimated revenue expenditure required to sustain the scheme over its lifecycle. Fields marked with (*) are mandatory and must be filled. Department may add additional heads, if needed or enter NA, if not applicable)*

Revenue Expenditure	
Category	**Amount Required**
Staff Salaries & Wages*	
Utilities & Energy Costs	
Consumables & Supplies	
Software & IT Services*	
Marketing & Promotions	

Ref	Parameter/ Response (Refer to Annexure for detailed guidance)

Transportation & Logistics	
Insurance & Compliance	
Maintenance & Upkeep*	
Other (specify)	
Total*	

3.4* **Sources of Funding**

(List all sources of funding for the scheme, distinguishing between capital and revenue expenditures. Ensure contingencies are included within the appropriate funding sources. Department may add additional heads, if needed or enter NA, if not applicable)

Sources of Finance	Capital Expenditure	Revenue Expenditure	Contingency Allocation
Government Treasury			
External scheme loan			
External Grant Aid			
Domestic Borrowing			
User fee Revenue			
Community Contribution			
Private Partner Contribution			
Other (specify)			
Total			

3.5 Total Financial Benefits of the Scheme

Financial Benefits and Revenue Generation:

- What are the financial benefits of the scheme in terms of direct revenue generation or savings? Mention these benefits below
  (Refer to annexure for the examples.)

Table 1(a) – Revenue Generation

Financial Year	Revenue Source	Estimated Revenue	Assumptions
	Total		

Table 1(b) – Financial Savings to the State

Source	Estimated Savings

Ref	Parameter/ Response (Refer to Annexure for detailed guidance)
	<table><tr><td></td><td></td></tr><tr><td>**Total**</td><td></td></tr></table>
3.6	**Financial Feasibility and Return on Investment:** a. What is the expected **Net Present Value (NPV)** of the scheme? Provide a year-wise breakdown of revenue, social benefits, operational costs, and discounted cash flows. b. What is the **Internal Rate of Return (IRR)**, and how does it compare to the cost of capital? c. What is the payback period for the scheme? d. How will financial sustainability be ensured over the scheme's lifecycle? *(Please refer to the annexure for the calculation details, attach the document/excel where calculations are done and mention the calculated number here.)*
	a. NPV: b. IRR: c. Payback Period: d. Financial Sustainability Measures:

A.4 Implementation

This section should provide evidence that a basic implementation plan has been considered. Although detail may not be possible or necessary at this early stage, basic planning should consider the main challenges in implementing the scheme. Basic information should include a timeline for implementation, consideration of risks involved in implementing the scheme, stakeholder engagement and the proposed governance and decision-making process with clear roles and responsibilities. This should also identify which official is accountable for the scheme.

Ref	Parameter/ Response (Refer to Annexure for detailed guidance)
4.1*	**Outline the planned timelines of the scheme:** Detail out the identified scheme stages and target timelines. Ensure sufficient buffer for potential risks identified. *(All important stages of scheme preparation and implementation should be listed in the table with the planned target dates to achieve each one.)*
	(Refer Annexure D for templates of tables to answer this question.)

<table>
<tr><th>Ref</th><th>Parameter/
Response (Refer to Annexure for detailed guidance)</th></tr>
<tr><td>4.2</td><td>What are the mandatory approvals or clearances required for the Scheme. Please provide details.</td></tr>
<tr><td></td><td>(Refer Annexure D for templates of tables to answer this question.)</td></tr>
<tr><td>4.3*</td><td>What are the possible risks to scheme timelines and costs? List each. What measures are being incorporated to mitigate such risks/delays?
(Example: Single bid leading to failure of tender, increase in costs of raw material over time etc.)</td></tr>
<tr><td></td><td>Potential Risks to Scheme Timelines & Cost and Mitigation Measures:

<table><tr><th>Risk</th><th>Description</th><th>Rating
(Low/ Moderate High)</th><th>Mitigation Measures</th></tr><tr><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td></tr></table></td></tr>
<tr><td>4.4</td><td>Are there any environmental impacts of the scheme? What mitigation measures are incorporated into the scheme design?
(Ensure the scheme is thoroughly evaluated for environmental-related risks and that appropriate mitigation measures are planned to ensure resilience and sustainability.)</td></tr>
<tr><td></td><td>(Refer annexure D for templates of tables to answer this question.)</td></tr>
<tr><td>4.5</td><td>Are there any social impacts of the Scheme? Does the scheme comply with all applicable labour laws and worker welfare regulations?
(Assess the scheme's compliance with labour laws, fair wages, worker safety etc.)</td></tr>
<tr><td></td><td>(Refer Annexure D for templates of tables to answer this question.)</td></tr>
<tr><td>4.6*</td><td>List the agencies, utilities, regulatory institutions, or other stakeholders involved in the implementation of the proposed scheme?
(List the agencies, utilities, regulatory bodies, and stakeholders with an interest in the scheme's outcome or those who may be affected by it or have a role in execution.)</td></tr>
<tr><td></td><td><table><tr><th>Stakeholder</th><th>Role</th><th>Key concerns and impediments raised from Stakeholders Consultations</th></tr><tr><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td></tr></table></td></tr>
</table>

Ref	Parameter/ Response (Refer to Annexure for detailed guidance)
4.7	**What resources (technical, scheme management, field implementation etc.) are required to ensure scheme success? Does the Department possess enough capacity and personnel? If not, what measures are proposed to increase the Department's capacity?** *(State the human resource(s) required to implement the scheme including scheme management and executive personnels. Address whether the scheme has enough staff and how any shortage of resource will be met.)*
4.8	**Does the Department plan to utilize an Information, Education, and Communication (IEC) strategy to generate awareness and engage stakeholders to foster a positive and supportive environment for the success of the scheme?** **If yes, please provide details.** *(Awareness generation and stakeholder engagement, fostering a positive and supportive environment for the scheme's success.)*
4.9	**Does the scheme integrate and leverage the latest technologies (e.g., AI, IoT etc) and data management solution to optimize its design, implementation and monitoring processes?**

A.5 PPP Applicability (Only to be filled if the scheme is to be implemented in PPP mode; otherwise, please skip this section)

Annexure A: Appraisal Note

<table>
<tr><th>Ref</th><th>Parameter/
Response (Refer to Annexure D for detailed guidance)</th></tr>
<tr><td>5.1</td><td>What roles are envisaged for the Government and Private Sector?</td></tr>
<tr><td></td><td>Roles for Government
1.
2.
3.
4.
5.

Roles for Private Partner
1.
2.
3.
4.
5.</td></tr>
<tr><td>5.2</td><td>What is reason for allocating the above roles in 5.1 to Private Partner?
(Describe why the private partner is better suited for each role.)</td></tr>
<tr><td></td><td>Reasons
1.
2.
3.
4.
5.</td></tr>
<tr><td>5.3</td><td>Please indicate (tick ✓) the proposed risk allocation between private and public sector below:
<table>
<tr><th>Risk Category</th><th>Public Sector</th><th>Shared</th><th>Private Sector</th><th>Risk impact</th></tr>
<tr><td>Design risk</td><td></td><td></td><td></td><td></td></tr>
<tr><td>Land acquisition and resettlement</td><td></td><td></td><td></td><td></td></tr>
<tr><td>Financing risk</td><td></td><td></td><td></td><td></td></tr>
<tr><td>Construction/build-out risk</td><td></td><td></td><td></td><td></td></tr>
<tr><td>Operating risk</td><td></td><td></td><td></td><td></td></tr>
<tr><td>Environmental/ social risk</td><td></td><td></td><td></td><td></td></tr>
<tr><td>Demand/revenue risk</td><td></td><td></td><td></td><td></td></tr>
<tr><td>Regulatory Risk</td><td></td><td></td><td></td><td></td></tr>
<tr><td>Others</td><td></td><td></td><td></td><td></td></tr>
</table></td></tr>
<tr><td>5.4</td><td>Would any legislation/regulation need to be enacted/modified to allow the private sector to deliver and charge for services?</td></tr>
<tr><td></td><td>Please check the right option:
i. Yes
ii. No
iii. Not Known</td></tr>
<tr><td>5.5</td><td>Estimated period of contract/partnership with the private entity
(If uncertain, please specify a range.)</td></tr>
<tr><td></td><td></td></tr>
</table>

Annexure A: Appraisal Note

Ref	Parameter/ Response (Refer to Annexure D for detailed guidance)
5.6	**Estimated start month/ year of partnership**
5.7	**a. Has the Department thought about all the difference sources of revenues in terms of the following:** • **User Charges** • **Private Partner Contribution** • **Government Contribution** • **Land monetisation revenues** • **Advertising/Other modes of monetisation**
	b. Are all the above sources sufficient to cover the scheme cost in an on-going manner? What is the risk around any of these revenues?
	c. If answer to above question is 'No' then please provide the details of risk mitigation/alternate sources
5.8	**a. Are you aware of a similar scheme being delivered through a PPP Model elsewhere in Punjab or outside Punjab?**
	b. If "Yes", please indicate where
	c. Please mention any reference material i.e., scheme reports, website link etc.
5.9	**a. Has the scheme received any feedback from banks or any Private agency?**

Ref	Parameter/ Response (Refer to Annexure D for detailed guidance)
	b. If "Yes", please provide summary of feedback:

A.6 Contact Details and Sign-off

	Name	Signature
Scheme prepared by	This should be the person who has completed this PCN.	
Telephone No		
Email		
Scheme Representative	The most senior official holding overall responsibility in the public entity that is proposing the scheme.	
Approval (Administrative Secretary/Minister)		

Annexure B:
Monitoring Note

B Annexure B: Monitoring Note

B.1 Executive Information and Scheme Profile

This section provides a summary of key Scheme details.

Ref	Parameter/ Response
1.1	**Scheme Title**
1.2	**Scheme ID Number**
1.3	**Description of the Scheme** *(Provide a 2-3 lines summary of the Scheme and its objectives.)*

B.2 Procedural Progress

Procedural progress refers to tracking the key stages, approvals and decision-making milestones in a Scheme's lifecycle. The stages vary by Scheme type of Scheme and ensure adherence to planned timelines, including approvals, consultations, and decision-making milestones.

The Scheme implementation is divided into two key phases:

i. Before the start of the Scheme covers pre-implementation planning, approvals and readiness
ii. Once the Scheme has started covers execution, monitoring and evaluation.

Below are the indicative templates for various Schemes. Stages, substages and remarks are illustrative in nature and departments can modify and expand stages and substages based on specific Scheme needs.

Indicative table for Infrastructure/ Supply/ Service Delivery Schemes

Stage	Substage	Start Date	Original Completion Date	Status *(Pending/ In Progress/ Completed)*	Revised Completion Date *(if any)*	Remarks *(Justification for delays, key action or observations)*
Planning & Surveys	Initial Surveys					3rd party survey agency engaged; report delayed due to XYZ issue.
	Feasibility Study					Feasibility submitted late due to delay in field data

Annexure B: Monitoring Note

Stage	Substage	Start Date	Original Completion Date	Status *(Pending/ In Progress/ Completed)*	Revised Completion Date *(if any)*	Remarks *(Justification for delays, key action or observations)*
DPR Preparation	Environmental & Social Impact Assessment					Clearances awaited; separate consultant hired
	Regulatory Clearances					3 out of 5 clearances obtained; Forest NOC pending due to legal disputes
	DPR Development					DPR revised to include new cost estimates post inflation adjustment
Approvals & Clearances	Administrative & Budgetary Approvals					File pending with Finance Dept; Budget Head change required
Tendering/ Procurement	Draft Tender					Initial draft returned. Tender to be reissued after consultation
	Consultation Process					Stakeholder identified; Meeting held with bidders; Changes made to SOW
	Publishing of Tender on Government portals					eProcurement portal used; published on state portal
	Bid Received					2 bids received; earlier tender had to be cancelled due to single bid
	Evaluation of bids					Technical bid opened, 1 bidder disqualified due to eligibility
	Issue of work order					Work order issued after 3 weeks due to approval delay

Indicative template for Direct Benefit Transfer:

A. Before the start of the Scheme

Stage	Substage	Start Date	Original Completion Date	Status *(Pending/In progress/ Completed)*	Revised Completion Date *(if any)*	Remarks
Beneficiary Identification	Data Collection					Field survey conducted; data incomplete for 15% households
	Verification of Beneficiary Data					Aadhar seeding done for 80%; verification pending due to mismatch
	Beneficiary Enrolment					Enrolment portal experiencing frequent downtime
System Setup	Application Portal & Digital Infrastructure					NIC developed portal; integration with PFMS pending
Application Process	Application Submission					10,000 applications received

Annexure B: Monitoring Note

	Application Review					Automated and manual validation ongoing; delay in review of rejected cases
	Approval and Notification					SMS sent via NIC getaway; some beneficiaries didn't receive confirmation
Testing & Pilot Phase	Testing & Pilot Implementation					Pilot run in 2 districts; payment glitches identified and resolved

B. Once the Scheme has started

Stage	Substage	Start Date	Original Completion Date	Status	Revised Completion Date *(if any)*	Remarks
Implementation	Preparation of Disbursement					Payment files prepared; delay due to mismatch in account numbers
	Fund Transfer					Payments processed; 500 failed
	Confirmation and Acknowledgement					SMS confirmation sent
Monitoring and Evaluation	Monitoring					Real time dashboard used; monthly tracking reports generated
	Beneficiary Feedback					Feedback form integrated in portal; 70% satisfaction recorded
	Impact Assessment					Independent evaluator onboarded
	Grievance Registration					300+ grievance received; mostly related to payment delays
	Resolution Process					90% grievances closed within SLA; escalation required for 5 complex cases
	Tracking & follow up					Weekly calls held; pending issues escalated; follow up tracker maintained

- Start Date: The date when this stage officially commenced
- Original Completion Date: The date originally projected for this stage to conclude, based on initial planning
- Status: Indicate whether this stage is Pending, In Progress or Completed
- Revised Completion Date: New revised completion date, if timelines shifted
- Remarks: Provide a brief explanation of current situation, delays etc. Include reasons for timeline shifts or any corrective action taken.

B.3 Physical Progress

Physical progress refers to the **actual on-ground implementation** of the Scheme, including infrastructure development (e.g., roads, buildings), service delivery outputs

(e.g. number of health camps held), equipment installation and other tangible inputs. It helps assess the extent of completed work.

Reporting Period	KPIs	Measurement Metric	Planned Target	Actual Completion	Status	Validation Done	Validation Method	Remarks
Q1								
Q2								

- Reporting Period: Indicate the reporting period for which physical progress is being reported (e.g. Q1, Q2 or custom timeline)
- KPIs: Define specific and measurable indicators relevant to the Scheme. KPIs should align with Scheme outputs and vary by Scheme type (infrastructure, service delivery, supply)
- Measurement Metric: Specify the unit to quantify the KPI
- Planned Target: Define the expected progress for the reporting period
- Actual Completion: Document the actual achieved progress for the reporting period
- Status: Indicate whether this KPI is Completed, In progress, Pending based on comparison of planned vs. actual
- Validation Method: The tools or mechanisms used to verify and validate the reported physical progress
- Validation Done: Denote in Yes or No if the validation is done
- Remarks: Include reasons for delays, challenges faced or any other issues

B.4 Financial Progress

Financial progress tracks fund releases, budget utilization, and financial feasibility. It ensures that expenditure aligns with planned allocations. This section includes three key areas:

i. Fund Releases: Monitoring the planned vs. actual release of funds from various sources.

Reporting Period	Source of Funds	Planned (Crore INR)	Actual (Crore INR)
Q1	External Schemes Loan		
	Government Treasury		
	External Grant Aid		
Q2	External Schemes Loan		
	Government Treasury		
	External Grant Aid		

- Reporting Period: Indicate the reporting period (e.g. Q1, Q2 or custom timeline) as per Scheme needs
- Source of Funds: Include Scheme specific sources of funds
- Planned Release: Funds scheduled for release in the reporting period
- Actual Released: Funds actually released in the reporting period

ii. Budget Utilization: Tracking how the allocated funds are spent across Scheme components.

Reporting Period	Type of Expenditure	Planned Utilization	Actual Utilization
Q1	Capital		
	Revenue		
Q2	Capital		
	Revenue		

- Reporting Period: Indicate the reporting period (e.g. Q1, Q2 or custom timeline) as per Scheme needs
- Planned Utilization: Expected financial allocation for Capital and Revenue Expenditure for the reporting period
- Actual Utilization: Amount spent in the reporting period

B.5 Input-Output-Outcome Progress

Department to indicate top 5 key performance indicators that will be used to monitor the Scheme performance, along with unit of measurement and target to be achieved along with timelines. Clearly define what are the inputs to the Scheme, how they are mapped to the outputs and outcomes. KPIs should be objective and clearly measurable.

- **Inputs:** Inputs are resources viz. labour, material, equipment, buildings and other resources which are used in activities to produce outputs.
- **Outputs:** Outputs are the services or goods delivered to, or for the direct benefit of, public in order to achieve the outcomes.
- **Outcomes:** Outcomes are changes which government actions bring about in individuals, social structures or the physical environment.

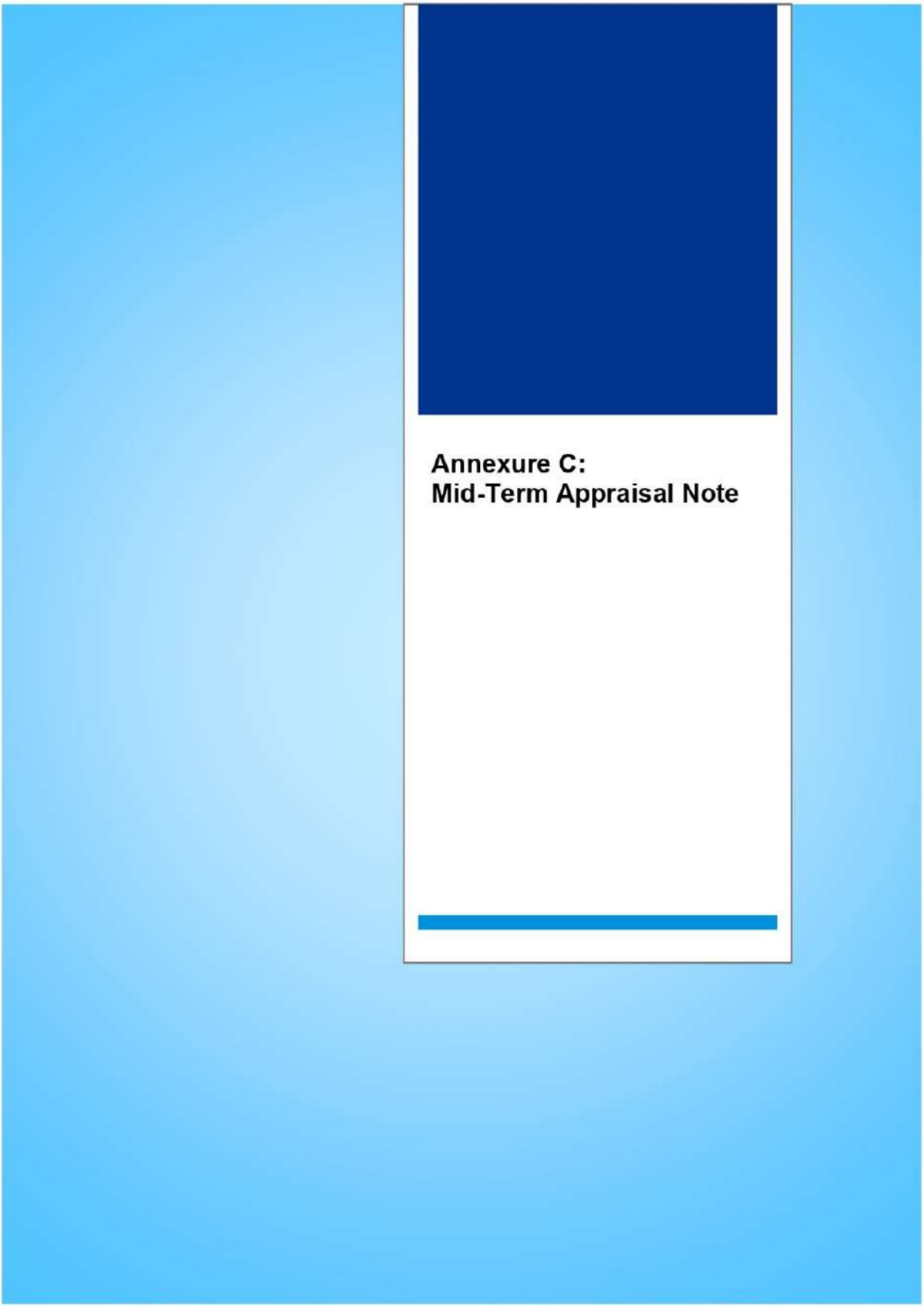
	KPI	Reporting Period	Target	Achieved	Measurement Unit	Method of measurement	Data Source	Frequency of Measurement	Validation Done	Validation Method	Remarks
*Input											
*Output											
Outcome											

Below is an indicative template for Development of School Building:

Annexure B: Monitoring Note

Stage	KPI	Reporting Period	Target	Achieved	Measurement Unit	Method of Measurement	Data source	Frequency of Measurement	Validation Done	Validation Method	Remarks
Input	*No. of operational classrooms to be developed*	Q1	10	9	Number	Physical inspection and review of site development reports	On-site records and geo-tagged images	Quarterly	Yes	Third party audit & verification	
		Q2	5	4					Yes		
		Q3	5	7					Yes		
Output	*Number of students enrolled in the school*	Y1	400	300	Number	Analysis of attendance and admission records	Admission data and manual attendance logs	Annual	Yes	Validated by local education authority	
		Y2	600	500					Yes		
Outcome	*Increase in literacy rates in rural areas*	Y1	85%	70%	%	Census and education department surveys	School records, literacy reports	Annual	Yes	Independent study	

- Reporting Period: Indicate the reporting period for which physical progress is being reported (e.g. Q1, Q2 or custom timeline)
- KPIs: Define specific and measurable indicators relevant to the Scheme. KPIs should be objective and clearly measurable
- Measurement Metric: Specify the unit to quantify the KPI
- Planned Target: Define the expected progress for the reporting period
- Achieved: Document the actual achieved progress for the reporting period
- Validation Done: Denote in Yes or No if the validation is done
- Validation Method: The tools or mechanisms used to verify and validate the reported physical progress
- Remarks: Indicate whether this KPI is Completed, In progress, Pending based on comparison of planned vs. actual. Include reasons for delays, challenges faced or any other issues.


Annexure C:
Mid-Term Appraisal Note

C Annexure C: Mid-Term Appraisal Note

All the fields marked with an asterisk (*) are to be filled for Schemes with small and medium budget (<50 crore).

C.1 Executive Information and Scheme Profile

This section provides a summary of key scheme details. Fill this section after completing the rest of the template with concise responses.

Ref	Parameter/ Response (Refer to Annexure E for detailed guidance)
1.1*	**Name of Implementation Agency and Sponsoring Administrative Department (AD)**
1.2*	**Scheme ID Number**
1.3*	**a. Scheme Title**
	b. Date of Submission
1.4*	**Description of the Scheme** *(Provide a 2-3 lines summary of the scheme and its objectives.)*
1.5*	**Sector and Scheme Classification** *(Indicate the sector (e.g., Health, Education) and the sub-sector of the scheme (e.g., Roads, medical infrastructure, school equipment, IT infrastructure etc.))*
	Sector ☐ Agriculture and Animal Husbandry ☐ Housing and Urban Development ☐ Food and Civil supplies ☐ Education ☐ Health & Family welfare ☐ Industries ☐ Labour ☐ Infrastructure (transport, water resources and supply, power, wastewater, etc.) ☐ Planning ☐ Rural development ☐ Social Welfare ☐ Sports ☐ Technology & Innovation ☐ Defence ☐ Environment, Forest and wildlife ☐ Renewable energy ☐ Tourism

Ref	Parameter/ Response (Refer to Annexure E for detailed guidance)
	☐ Others _____ **Scheme Classification: _____**
1.6*	**Scheme Start Date, Progress to Date and Planned Completion Date?** *(Planned start date, milestones achieved, planned completion date).*
	• Planned Start Date – • Milestones Achieved – • Planned Completion Date –
1.7*	**Overall Scheme Cost (including Capital Expenditure & Revenue Expenditure)** *(The total cost required for the Scheme)*
	• Capital Expenditure (in ₹ crore): • Revenue Expenditure (in ₹ crore):
1.8	**Is this a Public Private Partnership (PPP) scheme?**
	☐ Yes ☐ No Reason _____

C.2 Justification, Objective and Relevance

It provides the rationale behind the scheme, outlines its main objectives, and highlights its relevance to the broader goals or needs it aims to address.

Ref	Parameter/ Response (Refer to Annexure E for detailed guidance)
2.1	**What are the intended inputs (resources required), outputs (results expected from applying the inputs) and outcomes (long-term benefits). Outcomes should be outlined for both direct beneficiaries of the scheme and the overall socio-economic impact of the scheme.** *(Describes the Key Performance Indicators (KPIs) of inputs, outputs (deliverables) and outcomes. KPIs should be objective and clearly measurable. For each KPI, also provide the method of measurement and validation. Refer to the example in the Annexure E.)*
	Input KPIs* *KPI* | *Measurement Unit* | *Baseline* | *Target* | *Achieved* | *Method of measurement* | *Data Source* | *Validation* | | | | | | | | | | | | | | | | **Output KPIs*** *KPI* | *Measurement Unit* | *Baseline* | *Target* | *Achieved* | *Method of measurement* | *Data Source* | *Frequency of Measurement* | *Validation* | | | | | | | | | | | | | | | | | | | |

Annexure C: Mid-Term Appraisal Note

<table>
<tr><th>Ref</th><th>Parameter/
Response (Refer to Annexure E for detailed guidance)</th></tr>
<tr><td></td><td>Outcomes
(These are intended outcomes identified at the onset of the scheme. These should be linked to the larger goals outlined in the state's five-year agenda. Departments should plan for mid-term reviews to ensure alignment between scheme objectives and outcomes.)

<table>
<tr><th>KPI</th><th>Measurement Unit</th><th>Baseline</th><th>Target</th><th>Method of measurement</th><th>Data Source</th><th>Frequency of Measurement</th><th>Validation</th></tr>
<tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr>
</table>

Wider socio-economic impact

<table>
<tr><th>KPI</th><th>Measurement Unit</th><th>Baseline</th><th>Target</th><th>Method of measurement</th><th>Data Source</th><th>Frequency of Measurement</th><th>Validation</th></tr>
<tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr>
</table>
</td></tr>
<tr><td>2.2</td><td>Beneficiary Details:
(Schemes can have specific, pre-identified beneficiaries (e.g., students receiving scholarships, BPL families receiving welfare benefits) or larger prospective beneficiaries (e.g., a road scheme that benefits all commuters, a hospital that serves the public.))

a. Specific Beneficiaries</td></tr>
<tr><td></td><td>1.* Who are the intended beneficiaries of the scheme, and how many?</td></tr>
<tr><td></td><td></td></tr>
<tr><td></td><td>2.* Has the number of beneficiaries increased over time? If yes, then how is the data kept updated?</td></tr>
<tr><td></td><td></td></tr>
<tr><td></td><td>b. Prospective Larger Beneficiaries</td></tr>
<tr><td></td><td>Which population groups or regions have benefitted and are expected to benefit from this scheme?</td></tr>
<tr><td></td><td></td></tr>
<tr><td>2.3</td><td>a. What is the department's recommendation regarding the Scheme's future course? Please justify your recommendation.</td></tr>
<tr><td></td><td>☐ Continue as planned
☐ Extend Timeline
☐ Scale up
☐ Merge with another Scheme
☐ Consider for Scrapping</td></tr>
</table>

Ref	Parameter/ Response (Refer to Annexure E for detailed guidance)
	b. Indicate key learnings from the Scheme. *(Reflect on any insights gained from the execution process till date. How have these learnings influenced the current direction, or any adjustments made to the scheme over time?)*

C.3 Financial and Economic Information

In this section, estimates must be shown for all capital, revenue expenditure necessary to realize the scheme. (All amounts in ₹).

It is recognized that in larger schemes, it is more difficult to estimate costs at an early stage prior to feasibility studies being made, however 'best endeavours' should be employed using precedent costs and as a principle should aim to include more contingency to cover unknown future costs.

Ref	Parameter/ Response (Refer to Annexure E for detailed guidance)
3.1*	**Funding Requirement** *(Specify the scheme's funding requirements)*
	a. Specify the Scheme's total Budgeted Estimates, Revised Estimates and Actual Expenditure incurred up to date.

	Budgeted Estimates (Total projected at the start of the scheme)	Revised Estimates (Total)	Actual Expenditure (Up to date)
Total Expenditure			
Capital Expenditure			
Revenue Expenditure			

Has there been a cost overrun? Explain the reasons. What mitigation measures were put in place and why did they fail?
b. Specify the Year wise expenditure details against the total budgeted and revised estimates. *(BE/ RE- If the budget has been revised, please specify the RE. If the budget of the scheme has not been revised, please mention the BE)*

Financial Year	BE/RE (Total)	BE/RE (Up to date)	Actual Utilized (Up to date)	Amount Outstanding or Required	Justification for underutilization or cost overrun

Annexure C: Mid-Term Appraisal Note

Ref	Parameter/ Response (Refer to Annexure E for detailed guidance)

3.2 Estimated Total Capital Expenditure (CAPEX)

(Provide the updated cost breakdown for completing the phases of the scheme. This should reflect any adjustments or additional costs since the scheme's initiation, including the cost of ongoing construction, procurement, and other relevant expenditures that are yet to be completed; Department may add additional heads, if needed or enter NA, if not applicable)

(BE/ RE- If the budget has been revised, please specify the RE. If the budget of the scheme has not been revised, please mention the BE)

Category	Description	BE/RE for CAPEX- (Total)	BE/RE for CAPEX (Up to date)	Actual Utilized CAPEX (Up to date)
Building & Construction	Civil works, site development, structural construction			
Hardware & Software	Procurement of IT infrastructure, software development, cloud services			
Machinery & Equipment	Procurement of specialized equipment, operational machinery			
Land & Property	Land acquisition, property development			
Research & Development	Feasibility studies, surveys, design and prototyping			
Other (specify)	Architectural plans, structural engineering			
Total				

3.3 Estimated Revenue Expenditure

(Provide the total estimated revenue expenditure required to sustain the scheme over its lifecycle. Fields marked with (*) are mandatory and must be filled; Department may add additional heads, if needed or enter NA, if not applicable)

Category	Total Budgeted RE (Total)	Total Budgeted RE (Up to date)	Actual Revenue Expenditure (Up to date)
Staff Salaries & Wages*			
Utilities & Energy Costs			
Consumables & Supplies			
Software & IT Services*			
Marketing & Promotions			
Transportation & Logistics			
Insurance & Compliance			
Maintenance & Upkeep*			
Other (specify)			
Total*			

3.4* Indicate actual expenditures as per the sources of funding

(List all sources of funding for the scheme, distinguishing between capital and revenue expenditures. Ensure contingencies are included within the appropriate funding sources.)

Annexure C: Mid-Term Appraisal Note

Ref	Parameter/ Response (Refer to Annexure E for detailed guidance)

Sources of Finance	Capital Expenditure	Revenue Expenditure	Contingency Allocation	Total	Amount Required
Government Treasury					
External scheme loan					
External Grant Aid					
Domestic Borrowing					
User fee Revenue					
Community Contribution					
Private Partner Contribution					
Other (specify)					
Total					

3.5 Total Financial Benefits of the Scheme

Financial Benefits and Revenue Generation:

- What are the financial benefits of the scheme in terms of direct revenue generation? Mention these benefits in Table 1(a)
- Provide a year-wise breakdown of expected income streams, in Table 1(b)

(Refer to annexure for the examples.)

Table 1(a) – Revenue Generation

Financial Year	Revenue Source	Estimated Revenue	Assumptions
	Total		

Table 1(b) – Financial Savings to the State

Source	Estimated Savings
Total	

C.4 Implementation

Annexure C: Mid-Term Appraisal Note

This section should provide evidence that a basic implementation plan has been considered. Although detail may not be possible or necessary at this early stage, basic planning should consider the main challenges in implementing the scheme. Basic information should include a timeline for implementation, consideration of risks involved in implementing the scheme, stakeholder engagement and the proposed governance and decision-making process with clear roles and responsibilities. This should also identify which official is accountable for the scheme.

Ref	Parameter/ Response (Refer to Annexure E for detailed guidance)
4.1*	**Outline the timelines of the scheme:** Detail out the identified scheme stages and target timelines. Ensure sufficient buffer for potential risks identified. *(All important stages of scheme preparation and implementation should be listed in the table with the planned target dates to achieve each one.)*

Stage	Substage	Start Date	End Date	Start Date	End Date
		(Proposed/ Planned during appraisal)		(Actual)	
Planning & Surveys	Initial Surveys				
	Feasibility Study				
DPR Preparation	Environmental & Social Impact Assessment				
	Regulatory Clearances				
	DPR Development				
Approvals & Clearances	Administrative & Budgetary Approvals				
Tendering/ Procurement	Draft Tender				
	Consultation Process				
	Publishing of Tender on Government portals				
	Bid Received				
	Evaluation of bids				
	Issue of work order				

4.2 **a. Provide the current physical progress of the Scheme.**

Reporting Period	KPIs	Measurement Metric	Baseline	Planned Target	Actual Completion (Till date)	Validation Done	Validation Method	Remarks
Q1								
Q2								

Annexure C: Mid-Term Appraisal Note

Ref	Parameter/ Response (Refer to Annexure E for detailed guidance)
	b. What major challenges were encountered in ensuring the Scheme's physical progress stayed on schedule, and what solutions were implemented to overcome them?
4.3	**What are the mandatory approvals or clearances required/ obtained for the Scheme. Please provide details.**
	(Refer annexure E for templates of tables to answer this question.)
4.4	**What risks have impacted or may still impact the Scheme's timeline? List each. What measures are being incorporated to mitigate such risks/delays?** *(Example: Single bid leading to failure of tender, increase in costs of raw material over time etc.)*
	Potential Risks to Scheme Timelines & Cost and Mitigation Measures:

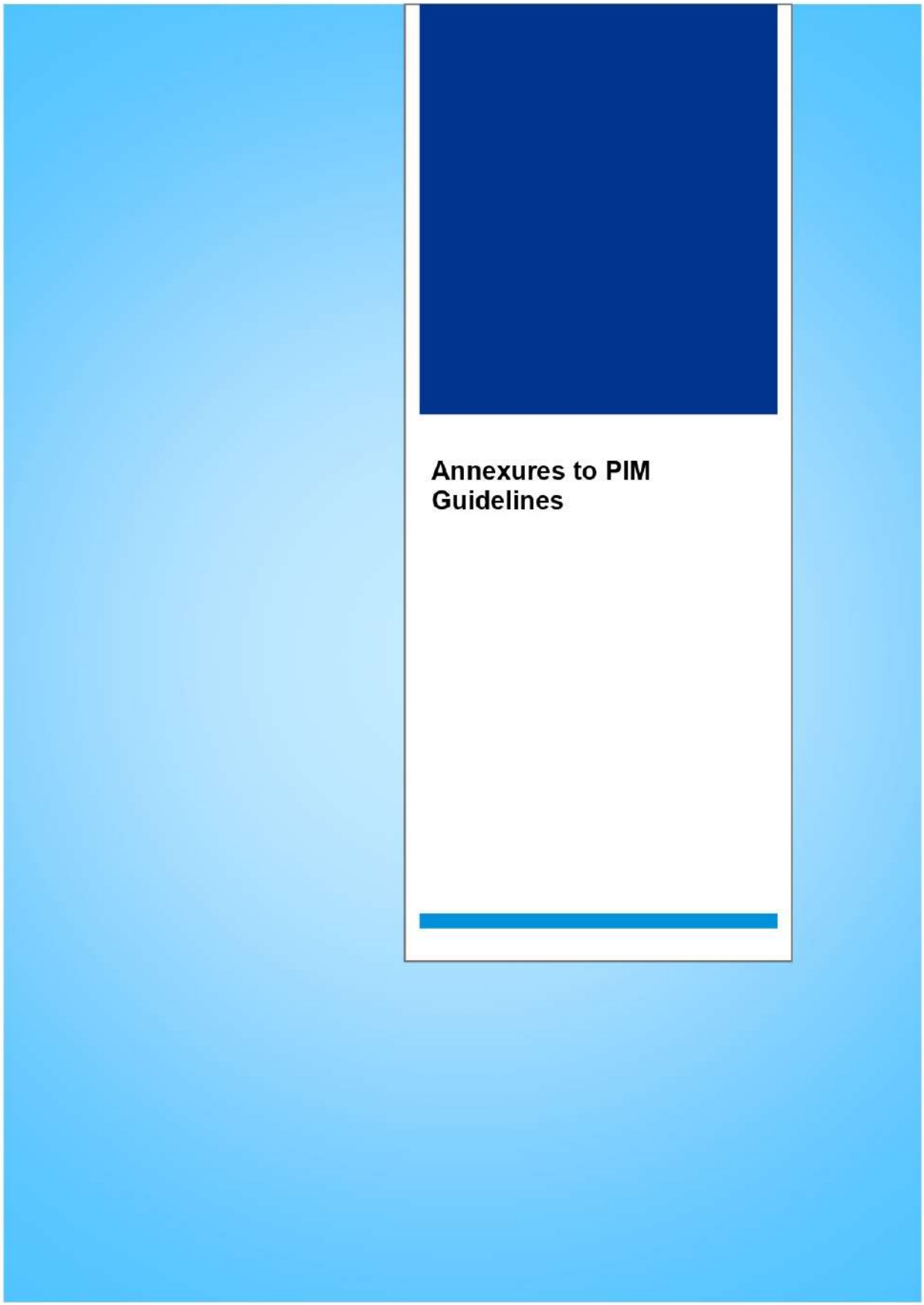
Risk	Impact	Rating (Low/Moderate/High)	Mitigation Measures

4.5	**List the agencies, utilities, regulatory institutions, or other stakeholders involved in the implementation of the proposed scheme?** *(List the agencies, utilities, regulatory bodies, and stakeholders with an interest in the scheme's outcome or those who may be affected by it or have a role in execution.)*

Ref	Parameter/ Response (Refer to Annexure E for detailed guidance)
	<table><tr><th>Stakeholder</th><th>Role</th><th>Key concerns and impediments raised from Stakeholders Consultations</th></tr><tr><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td></tr></table>
4.6	**What resources (technical, manpower scheme management, field implementation etc.) are required to ensure scheme success? Does the Department possess enough capacity and personnel to complete the remaining components of the Scheme? If not, what measures are proposed to increase the Department's capacity?** *(State the human resource(s) required to implement the scheme including scheme management and executive personnels. Address whether the scheme has enough staff and how any shortage of resource will be met.)*

C.5 Contact Details and Sign-off

	Name	Signature
Scheme prepared by	This should be the person who has completed this PCN.	
Telephone No		
Email		
Scheme Representative	The most senior official holding overall responsibility in the public entity that is proposing the scheme.	
Approval (Administrative Secretary/Minister)		


Annexures to PIM
Guidelines

D Annexure D: Evaluation Note

Evaluation of schemes is pivotal to monitor progress, measure effectiveness and ensure optimization of resources for the desired impact.

D.1 Executive Information and Scheme Profile

This section provides a summary of key project details.

Ref	Parameter/Response
1.1*	**Project Title**
1.2*	**Scheme ID Number**
1.3*	**Description of the Project** *(Provide a 2-3 lines summary of the project and its objectives.)*
1.4	**Sector and Scheme Classification** *(Indicate the sector (e.g., Health, Education) and the sub-sector of the scheme (e.g., Roads, medical infrastructure, school equipment, IT infrastructure etc.))*
1.5	**a. Who were the Primary Stakeholders Involved in the Scheme?** *(e.g., Government, Beneficiaries, Implementation Partners)*
	b. Indicate external collaboration and its purpose, if any. *(e.g., Think Tank, Academia, Subject Matter Experts)*

D.2 Evaluation of the Scheme

Ref	Parameter/ Response
Financial Evaluation	
2.1	**What were the financial estimates and actual expenditures of the Scheme?**

Particulars	Budgeted at the start of the Scheme	Actual Expenditure
Capital Expenditure		
Revenue Expenditure		
Total Budget		

Annexure D: Evaluation Note

<table>
<tr><th>Ref</th><th>Parameter/ Response</th></tr>
<tr><td>2.2</td><td>What are the reasons for underutilization/ cost overruns, if any, in the Budgeted Expenditure?</td></tr>
<tr><td></td><td></td></tr>
<tr><td colspan="2">Timelines</td></tr>
<tr><td>2.3</td><td>What were the planned and actual timelines of the Scheme?</td></tr>
<tr><td></td><td>
<table>
<tr><td>Particulars</td><td>Indicated at the start of the Scheme</td><td>Actual Timelines</td></tr>
<tr><td>Start Date</td><td></td><td></td></tr>
<tr><td>End Date</td><td></td><td></td></tr>
<tr><td>Duration</td><td></td><td></td></tr>
</table>
</td></tr>
<tr><td>2.4</td><td>Was the Scheme delayed or on time? What were the reasons for delay/ How was the Scheme able to achieve on time implementation?</td></tr>
<tr><td></td><td></td></tr>
<tr><td colspan="2">Input-Output- Outcome Monitoring</td></tr>
<tr><td>2.5</td><td>What were the intended inputs (resources required), outputs (results expected from applying the inputs) and outcomes (long-term benefits).
Outcomes should be outlined for both direct beneficiaries of the project and the overall socio-economic impact of the project.
(Describes the Key Performance Indicators (KPIs) of inputs, outputs (deliverables) and outcomes. KPIs should be objective and clearly measurable. For each KPI, also provide the method of measurement and validation. Refer to the example in the Annexure.)</td></tr>
<tr><td></td><td>Input- Output- Outcome Monitoring

Department to indicate only top 5 key performance indicators that were used to monitor the project performance, along with unit of measurement and target to be achieved along with timelines. These KPI's should align with the larger goals outlined in the State's five-year agenda. Clearly define what are the inputs to the project, how they are mapped to the outputs and outcomes. KPIs should be objective and clearly measurable.</td></tr>
</table>

Annexure D: Evaluation Note

Ref	Parameter/ Response

	KPI	Milestone	Baseline	Target	Actual	Measurement Unit	Method of measurement	Data Source	Frequency of Measurement	Validation
*Input										
*Output										
Outcome										

Beneficiary Details

2.6	**Who were the intended beneficiaries of the project?**
2.7	**How many intended and other beneficiaries have been served?**
2.8	**Give a summary of Beneficiary Experience and Feedback. How was the beneficiary feedback collected?**

Overall Feedback on the Scheme

2.9	**Did the Scheme meet its objectives as set during the start of the Scheme? If yes, how was the scheme able to successfully meet the outcomes? If not, what were the challenges faced?**
2.10	**What were the major challenges faced during the scheme implementation? How did the Department overcome these challenges?**
2.11	**Any examples of best practices or Case Studies that the Department would like to highlight?**

Annexure D: Evaluation Note

Ref	Parameter/ Response
2.12	Any positive or negative externalities observed during Scheme implementation?
2.13	Are there any environmental impacts of the scheme? What mitigation measures were incorporated during scheme implementation?
2.14	Was there any independent third-party assessment study undertaken? If yes, briefly summarise the findings. If not, do you suggest an independent 3rd party assessment?
2.15	Learnings from the ground and suggestions for the future.

Annexure E:
Description to fill the
Appraisal Note

E Annexure E: Description to fill Appraisal Note

E.1 Executive Information and Scheme Profile

This section provides a high-level summary of key scheme details. Fill this section after completing the rest of the template with concise responses (1-2 lines).

Ref	Description
1.1*	**Implementation Agency and Sponsoring Administrative Department (AD)** Identify the Implementation Agency responsible for submitting or implementing the scheme and the concerned Sponsoring Administrative Departments.
1.2*	**Scheme ID Number** The Scheme ID Number is assigned after the scheme is approved/submitted/registered at the Planning Department.
1.3*	**a. Scheme Title** State the official, full title of the scheme (working titles can be used initially, but the final title should be confirmed once the scheme is accepted and issued with a reference number).
	b. Submission Date The date the scheme is submitted to PIM/Planning Team for review/approval for the first time.
1.4*	**Scheme Description** Provide a brief summary of the scheme and its objectives in two or three lines.
1.5*	**Sector and Scheme Classification** Indicate the scheme under an appropriate sector by ticking the appropriate option(s): ☐ Agriculture and Animal Husbandry ☐ Housing and Urban Development ☐ Food and Civil supplies ☐ Education ☐ Health & Family welfare ☐ Industries ☐ Labour ☐ Infrastructure (transport, water resources and supply, power, wastewater, etc.) ☐ Planning ☐ Rural development ☐ Social Welfare ☐ Sports ☐ Technology & Innovation ☐ Defence ☐ Environment, Forest and wildlife ☐ Renewable energy ☐ Tourism ☐ Others _____

Annexure E: Description to fill Appraisal Note

Ref	Description
	Specify the relevant **sub-sector** it pertains to (e.g., Roads, School Equipment, Medical Infrastructure, IT Infrastructure etc.).
1.6*	**Scheme Type:** Clearly indicate whether the scheme is: ☐ New Scheme (Initiated for the first time under a new scheme) ☐ Extension of ongoing or similar Scheme (Scaling, modifying or continuing an ongoing or similar scheme) Tick the appropriate option

1.7*	**Estimate Start Date**
	The estimated start date represents the formal point when the scheme transitions from planning to active pre-implementation. It is when key preparatory actions begin, and resources are committed.
	This date may vary by scheme scale:
	• Small schemes (No Feasibility Study Required):
	  ○ Start Date: The publication of the Procurement Notice
	• Medium and Large Schemes (Feasibility Study Required):
	  ○ Start Date: The commencement of the Feasibility Study

1.8*	**Expected Operational Start Date & Scheme Duration** This is the point at which the scheme transitions from implementation to being operational. It is the moment when the scheme starts delivering its intended impact. *Examples:* • Road Scheme – The operational start date is the day the road is officially opened to traffic • Computer Provision to Schools – The operational start date is when the computers are installed, configured and available for student use Specify the expected duration of the scheme, i.e., the validity of the scheme.
1.9*	**Total Estimated Cost (Capital Expenditure & Revenue Expenditure)** Provide total scheme cost, including both Capital Expenditure and Revenue Expenditure. *Example 1:* Bridge Scheme: • **Capital Expenditure:** Includes costs for land acquisition, construction materials, labour engineering, and equipment for building the bridge • **Revenue Expenditure:** Inspections, and operational costs for ensuring the bridge's safety and functionality *Example 2:* Scholarship DBT Scheme:

Annexure E: Description to fill Appraisal Note

Ref	Description
	• **Capital Expenditure:** Initial setup of the digital infrastructure, software and platform development • **Revenue Expenditure:** Ongoing administrative costs, fund transfers, and support staff. *Example 3:* **Agricultural Advisory Centers (AACs):** • **Capital Expenditure:** Building infrastructure for the centres, procurement of agricultural tools and equipment. • **Revenue Expenditure:** Regular operational costs, including salaries of agricultural experts, training programs
1.10	**Is Public Private Partnership (PPP) a feasible approach for this Scheme?** Indicate Yes/No by evaluating if a PPP model is suitable for the Scheme. Provide justification for choosing or not choosing PPP for this Scheme.

E.2 Justification, Objective and Relevance

It provides the rationale behind the scheme, outlines its main objectives, and highlights its relevance to the broader objectives or needs it aims to address.

Ref	Description
2.1	a) ***Why does this scheme need to be implemented?** I. Purpose and Necessity: Clearly state the rationale for the scheme's implementation, emphasizing the critical need it addresses. Describe why the scheme should be delivered. II. Current Condition: Please substantiate the current condition (i.e., situation in the absence of the envisaged schemes) with facts and figures. Include baseline of socio-economic parameters or data to justify the proposal. III. Scale of the Problem: Define the magnitude of the problem in measurable terms. Provide specific figures or estimates such as population affected. IV. Similar Schemes in the Vicinity: Identify any similar schemes implemented within the catchment area. Provide details on their name, location and objectives. Explain how the proposed scheme differs from or improves upon these existing initiatives. *Example 1:* Road Infrastructure Scheme I. Purpose and Necessity: The Road scheme aims to enhance road connectivity, reduce congestion, and improve safety in Punjab, particularly underdeveloped districts. II. Current Condition:

Annexure E: Description to fill Appraisal Note

Ref	Description
	• Traffic Congestion: High vehicle density on key corridors, leading to longer travel times and increased fuel consumption. • Safety Concerns: Identified accident-prone areas due to inadequate road width and lack of pedestrian infrastructure • Economic Impact: Poor Road infrastructure hinders economic growth by limiting access to markets and services. Businesses in the region face challenges in transporting goods and attracting customers. III. Scale of the Problem: • Affected Population: Approximately 500,000 residents in the region are affected by the inadequate road infrastructure. • Economic Loss: Estimated loss of Rs 200 crore annually due to inefficiencies. IV. Similar Schemes in the Vicinity • Scheme Name: Punjab Road Rehabilitation Programme • Location: Multiple districts, including Mutki and Jawahar Singh Wala • Objective: To upgrade and widen key transport routes to improve mobility and economic activity • How this Scheme Differs: While the Punjab Road Rehabilitation Programme focuses on major highways, this scheme specifically addresses last mile connectivity for rural and peri-urban areas, ensuring that local communities benefit from improved road access *Example 2*: Solar Irrigation for Agriculture I. Purpose and Necessity: The scheme aims to provide reliable and cost-effective irrigation solutions to farmers in rural areas by promoting solar-powered irrigation. II. Current Condition: • Dependence on Diesel and Electricity: Farmers spend a significant portion of their income on diesel and electricity for irrigation. This increases their financial burden and reduces their profitability. • Water Scarcity: Many regions face water scarcity, making it difficult for farmers to maintain consistent irrigation. Traditional irrigation methods are inefficient and lead to water wastage. III. Scale of the Problem: • Affected Population: Around 300,000 farmers are affected by the high costs and inefficiencies of traditional irrigation methods. • Economic Impact: The annual expenditure on diesel and electricity for irrigation is estimated to be ₹100 crores. IV. Similar Schemes in the Vicinity There are no similar schemes in the vicinity, *Example 3:* Scholarship Program

Annexure E: Description to fill Appraisal Note

Ref	Description
	i. Purpose and Necessity: This scheme aims to support students from low-income families by providing scholarships for higher education. ii. Current Condition: • Limited Financial Assistance: Many students struggle to afford tuition and educational expenses • Educational Disparities: A lack of financial support leads to high drop out rates among underprivileged students • Employment Impact: Lower education levels result in limited job opportunities and economic growth iii. Scale of the Problem: • Affected Population: Approximately 50,000 students from low-income families lack access to financial support • Economic Impact: A high dropout rate limits economic and social mobility, reducing overall GDP growth iv. Similar Schemes in the Vicinity • Scheme Name: Punjab SC Post-Matric Scholarship Scheme • Location: Implemented across Punjab • Objectives: To provide financial assistance for post secondary education to SC students • How this scheme differs: Unlike the existing scheme, which is limited to SC students, this scheme covers all underprivileged students, including those from economically weaker sections (EWS) and other marginalized groups. **b) What are the alternative solutions considered?** State whether the alternative options were considered to achieve the planned objectives. If yes, state the alternative options considered. *Example 1*: Road Scheme Alternative solutions considered for Road Scheme: a. Improving Public Transportation: Enhancing public transportation services such as buses and trains to reduce the number of private vehicles on the road. b. Implementing Traffic Management Systems: Using smart traffic management systems to optimize traffic flow and reduce congestion *Example 2:* Solar Irrigation for Agriculture Alternative solutions considered for Solar Irrigation for Agriculture: a. Subsidizing Diesel and Electricity: Providing subsidies to farmers for diesel and electricity to reduce their financial burden. b. Promoting Drip Irrigation: Encouraging the use of drip irrigation systems to improve water efficiency and reduce water wastage. *Example 3:* Scholarship Program Alternative solutions considered for Scholarship Program: a. Interest-Free Education Loans: Providing interest-free loans to students from low-income families to cover their education expenses.

Annexure E: Description to fill Appraisal Note

Ref	Description
	b. Vocational Training Programs: Offering vocational training programs to equip students with job-ready skills and improve their employability. **c) Has the Department evaluated these alternative options? Explain how the proposed solution is more effective.** State if the department has assessed these alternative options and determine why the proposed solution is more effective. *Example 1*: Road Scheme The expansion of the highway addresses the root cause of congestion by increasing road capacity. While improving public transportation is beneficial, it may not fully resolve the congestion caused by heavy goods vehicles and long-distance travelers. Traffic management systems can help, but they may not be sufficient for the existing narrow and inadequate road infrastructure. *Example 2:* Solar Irrigation for Agriculture Solar-powered irrigation is a sustainable and long-term solution that reduces farmers' dependence on diesel and electricity. While subsidies can provide short-term relief, they do not address the environmental impact and long-term sustainability. Drip irrigation is effective but still requires a reliable source of water, which solar pumps can provide. *Example 3:* Scholarship Program Scholarships provide direct financial support without the burden of repayment, ensuring that students can focus on their studies. While interest-free loans can help, they still place a financial burden on students after graduation. Vocational training is valuable but may not fully address the aspirations of students seeking higher education and academic careers. **d) Overlapping existing Schemes** When considering the initiation of a new Scheme/Scheme, it is crucial for the Department to examine if this scheme can be included under any ongoing State or Government of India initiatives. *Example 1:* Road Scheme • Existing Scheme: Pradhan Mantri Gram Sadak Yojana • Scheme Number: (Specify the Scheme number) • Justification for a Separate Scheme: PMGSY focuses on connecting unlinked villages with new roads, whereas this scheme aims to upgrade and expand existing road networks in peri-urban and high-traffic areas. The proposed initiative also incorporates intelligent traffic management, pedestrian safety measures, and climate-resilient road construction, which are not covered under PMGSY. These enhancements justify the need for a separate scheme.

Annexure E: Description to fill Appraisal Note

Ref	Description
	Example 2: Solar Irrigation for Agriculture No existing scheme currently provides a comprehensive approach to solar-powered irrigation at the community level. *Example 3*: Scholarship Program • Existing Scheme: Punjab SC Post-Matric Scholarship • Scheme Number: (Specify the Scheme number) • Justification for a Separate Scheme: The SC Post-Matric Scholarship is restricted to Scheduled Caste (SC) students, whereas the proposed initiative expands financial assistance to economically weaker sections (EWS) and other marginalized communities. Additionally, this scheme includes mentorship, career counseling, skill development, and industry linkages, which are not covered under the existing scholarship scheme. Due to its broader coverage and additional components, this scheme requires independent implementation.
2.2*	**What are the intended inputs (resources required), outputs (results expected from applying the inputs) and outcomes (long-term benefits)?**

KPIs

Department to indicate only top 5 key performance indicators that will be used to monitor the scheme performance, along with unit of measurement and target to be achieved along with timelines. These KPI's should align with the larger goals outlined in the State's five-year agenda. Clearly define what are the inputs to the scheme, how they are mapped to the outputs and outcomes.

- **Inputs:** Inputs are resources viz. labour, material, equipment, buildings and other resources which are used in activities to produce outputs.
- **Outputs:** Outputs are the services or goods delivered to, or for the direct benefit of, public in order to achieve the outcomes.
- **Outcomes:** Outcomes are changes which government actions bring about in individuals, social structures or the physical environment.

KPIs should be objective and clearly measurable. An example is as below:

Example 1: Development of a new school building

***Inputs (Resources Required)**

KPI	*Measurement Unit*	*Baseline*	*Target*	*Method of measurement*	*Data Source*	*Validation*
Number of operational classrooms to be developed	*Number*	*0*	*10 classrooms*	*Physical inspection and review of site*	*On-site records and geo-tagged images*	*Third party audit & verification*

Annexure E: Description to fill Appraisal Note

Ref	Description					
				development reports		

*Outputs

KPI	Measurement Unit	Baseline	Target	Method of measurement	Data Source	Frequency of Measurement	Validation
Number of students enrolled in the school	Number	0	400 students	Analysis of attendance and admission records	Admission data and manual attendance logs	Annual	Validated by local education authority

Outcomes

(These are the intended outcomes identified at the onset of the scheme. The Department should plan for mid-term reviews, especially to assess the alignment between the scheme objectives and outcomes)

KPI	Measurement Unit	Baseline	Target	Method of measurement	Data Source	Frequency of Measurement	Validation
Increase in literacy rates in rural areas	%	60%	85%	Census and education department surveys	School records, literacy reports	Annual	Independent study

Wider socio-economic impact

KPI	Measurement Unit	Baseline	Target	Method of measurement	Data Source	Frequency of Measurement	Validation
Reduction in dropout rates among low-income students	%	30% dropout rate	0% dropout rate	School retention analysis	Education department reports	Annual	Government review

Example 2: Providing an ambulance service

Inputs

KPI	Measurement Unit	Baseline	Target	Method of measurement	Data Source	Validation
Number of functional ambulances deployed	Number	10 ambulances	20 ambulances	Review of fleet records	Ambulance service logs	Internal audit, Real-time GPS tracking
Number of Emergency Medical Technicians (EMT)	Number	40 EMTs	80 EMT	HR records validation	Recruitment data	Internal audit

Outputs

KPI	Measurement Unit	Baseline	Target	Method of measurement	Data Source	Frequency of Measurement	Validation

Annexure E: Description to fill Appraisal Note

Ref	Description						
Number of emergency cases attended	Number	500 per month	700 per month	Service delivery records	Emergency call logs	Monthly	Service delivery records
Avg. response time	Minutes	15 minutes	10 minutes	Dispatch and response records	Ambulance service records	Monthly	Confirmed via GPS Tracking

Outcomes

KPI	Measurement Unit	Baseline	Target	Method of measurement	Data Source	Frequency of Measurement	Validation
Survival rate of critical patients	%	70% survival rate	85% survival rate	Medical records and follow up	Hospital and patient records	Annual	Validated by third audit
Reduction in response time in high traffic areas	%	20% reduction	30% reduction	Geographic analysis and response records	Traffic and response time data	Annual	GPS Tracking

Wider socio-economic impact

KPI	Measurement Unit	Baseline	Target	Method of measurement	Data Source	Frequency of Measurement	Validation
Increase in accessibility to healthcare in rural areas	%	0%	70%	Field surveys & hospital admission data	Health department reports	Annual	Third-party verification

Example 3: Highway Expansion

Inputs

KPI	Measurement Unit	Baseline	Target	Method of measurement	Data Source	Validation
Length of highway constructed	Kilometers	0	781 km	Road Surveys & scheme reports	Engineering reports	Independent verification

Outputs

KPI	Measurement Unit	Baseline	Target	Method of measurement	Data Source	Frequency of Measurement	Validation
Number of vehicles using expanded highway	Number	0	1000 cars	Traffic survey	Traffic reports and toll records	Quarterly	Verified via toll and fast tag data

Outcomes

Annexure E: Description to fill Appraisal Note

Ref	Description

KPI	Measurement Unit	Baseline	Target	Method of measurement	Data Source	Frequency of Measurement	Validation
Reduction in travel time on highway	%	0	30% reduction	Travel time surveys & GPS tracking data	Traffic reports	Quarterly	Independent verification

Wider socio-economic impact

KPI	Measurement Unit	Baseline	Target	Method of measurement	Data Source	Frequency of Measurement	Validation
Reduction in vehicular emissions	%	0	30% reduction	Air quality monitoring	Environmental reports	Annual	Third Party Audits

Example 4: Solar Irrigation for Sustainable Agriculture

Inputs

KPI	Measurement Unit	Baseline	Target	Method of measurement	Data Source	Validation
Number of functional solar irrigation pumps installed	Number	0	100,000	Installation reports & physical inspection	Government records	Verified by field inspection

Outputs

KPI	Measurement Unit	Baseline	Target	Method of measurement	Data Source	Frequency of Measurement	Validation
Power generated by solar irrigation pumps	Kilowatt-hours (kWh)	0		Energy metering and performance tests	Utility monitoring systems	Monthly	Verified by independent meter readings

Outcomes

KPI	Measurement Unit	Baseline	Target	Method of measurement	Data Source	Frequency of Measurement	Validation
Impact on climate change	Metric Tons (CO_2e)	0%	20% reduction	Comparative environmental impact analysis	Environmental monitoring reports	Annual	Third party environmental audit
Reduction in ground water usage	%	0%	30% reduction	Analysis of water usage statistics	Water resource management data	Annual	Third party survey

Wider socio-economic impact

Annexure E: Description to fill Appraisal Note

Ref	Description

KPI	Measurement Unit	Baseline	Target	Method of measurement	Data Source	Frequency of Measurement	Validation
Reduction in reliance on government agricultural subsidies	%	0%	50% reduction	Financial impact analysis	Ministry of Agricultural reports	Annual	Independent financial audit

Example 5: Scholarship program for BPL students

Inputs

KPI	Measurement Unit	Baseline	Target	Method of measurement	Data Source	Validation
Number of scholarships awarded	Number	0	50,000 scholarships	Review of Scholarship record & award certificates	University records, Ministry of Education data	Physical verification & audit

Outputs

KPI	Measurement Unit	Baseline	Target	Method of measurement	Data Source	Frequency of Measurement	Validation
Number of students enrolling in higher education institutions	Number	0	80,000 students	Enrolment data and admission records	University admission	Annual	Third-party audit

Outcomes

KPI	Measurement Unit	Baseline	Target	Method of measurement	Data Source	Frequency of Measurement	Validation
Increase in graduation rate among students	%	50%	85%	Academic records & graduation data	University reports	Annual	Government assessment
Enhancement of skills	Score (CGPA)	0	7 CGPA	Analysis of semester exam results	Semester Exam Records	Semester	Set Academic Threshold

Wider socio-economic impact

KPI	Measurement Unit	Baseline	Target	Method of measurement	Data Source	Frequency of Measurement	Validation
Increase in employment rates for scholarship recipients	%	0%	80%	Employment survey & university career records	Ministry of Labor reports	Annual	Third-party verification

Annexure E: Description to fill Appraisal Note

Ref	Description
2.3	**Please provide Beneficiary Details** Schemes can have specific, pre-identified beneficiaries (e.g., students receiving scholarships, BPL families receiving welfare benefits) or larger prospective beneficiaries (e.g., a road scheme that benefits all commuters, a hospital that serves the general public). Outline the selection process and validation mechanisms for both specific and larger beneficiaries, ensuring targeted service delivery and minimizing exclusion. **a) Specific Beneficiaries** *Example*: Old Age Pension Program a. *Intended Beneficiaries The beneficiaries are 33.52 million senior citizens aged 60 years and above who do not receive any other government pension. b. *Beneficiary Selection Eligibility is determined based on: o Age verification through Aadhaar and voter ID records o Income status verification through state revenue records and pension exclusion lists o Bank account details to ensure direct transfer of pension benefits. c. Beneficiary Validation o The system cross-verify Aadhaar-linked pension databases, income certificates, and banking KYC details to confirm eligibility and eliminate duplicate beneficiaries. o Integration with UIDAI, the National Social Assistance Programme (NSAP) portal, and state pension databases ensures real-time validation. o AI-based anomaly detection flags cases where pensioners might already be receiving benefits from another government scheme. . d. Ensure that no beneficiary is excluded Integration with state social welfare departments, Gram Panchayats, and self-help groups to ensure that all eligible elderly individuals, especially those in rural areas, are identified and enrolled. **b) Prospective Larger Beneficiaries** *Example*: Highway Expansion Scheme • Which population groups or regions are expected to benefit from this scheme? The primary beneficiaries are residents and commuters who will benefit from improved connectivity and reduced travel time. Additionally, local businesses and communities along the highway

Ref	Description
	will benefit from increased economic activity. A population of nearly 10,000 is expected to benefit from this road scheme.
2.4	**Has the impact on the demographics such as BPL, children, women & people with disabilities assessed during Scheme Design?** What considerations have been taken to specifically include or increase access to the scheme for disadvantaged populations, detail out specific planned/identified actions which would be required for ensuring fair participation by women, backward castes, people with disabilities, other marginalized classes etc., Have we involved specific Departments looking after welfare of these class of population and have we included output/KPIs around these.

E.3 Financial and Economic Information

In this section, estimates must be shown of all capital, operational and maintenance costs necessary to realize the scheme. (All amounts in ₹).

It is recognized that in larger schemes, it is more difficult to estimate costs at an early stage prior to feasibility studies being made, however 'best endeavours' should be employed using precedent costs and as a principle should aim to include more contingency to cover unknown future costs.

Ref	Description
3.1*	**Annual Funding Requirement** Annual funding refers to the financial allocation required for a scheme's execution across multiple years, covering capital expenditure, revenue expenditure, and total costs. Include breakdown of funding needs per financial year, including feasibility study costs in the first year, and a clear separation of capital and revenue expenditures to ensure accurate budget allocation. It should align with scheme phases, specifying anticipated disbursements for each year and maintaining consistency with revenue expenditure as mentioned in section 3.3. Additionally, supporting documentation should be provided, if required, to justify estimated costs.
3.2	**Estimated Total Capital Expenditure to complete the scheme (CAPEX)** Capital expenditure (CAPEX) refers to the total investment required to complete the scheme, covering costs associated with infrastructure development, equipment procurement, research, and other fixed assets. Provide a detailed breakdown of CAPEX, categorizing expenses under major cost heads such as construction, technology, machinery, land acquisition, R&D. It is essential to present a precise estimate of total capital expenditure needed for scheme completion, ensuring that all relevant cost components are accounted for. The CAPEX estimate should align with scheme milestones and financial planning, supporting efficient fund allocation over different phases of the scheme. Additional cost heads may be added as per scheme requirements, and supporting documentation should be included for validation.
3.3	**Estimated Revenue Expenditure**

Annexure E: Description to fill Appraisal Note

Ref	Description
	Revenue expenditure refers to the ongoing costs necessary to maintain and operate the scheme throughout its lifecycle. Provide a comprehensive breakdown of revenue expenditure, detailing costs that will be incurred annually or periodically throughout the scheme's lifespan. The estimated costs can be categorized under relevant heads such as staff salaries, IT services, utilities, consumables, and infrastructure maintenance. Departments must ensure that all mandatory fields are filled. If certain categories are not applicable, they should be marked as "NA" for clarity. New expenditure heads can be created as per the specific requirements of the scheme to ensure that all operational aspects are adequately covered. Additionally, the basis for these cost estimations to be well-documented to maintain transparency and allow for validation through supporting annexures or reference documents.
3.4*	**Sources of Funding** List all the sources of funding for the scheme, clearly distinguishing between **capital expenditures** (for initial setup and infrastructure, tying back to the total amount in 3.2) and **revenue expenditures** (for ongoing costs such as staffing, maintenance, and supplies, tying back to the total amount in 3.3). It is essential to ensure that **contingencies**—funds set aside for unforeseen costs—are properly included within the appropriate funding sources, whether capital or revenue expenditure. A critical examination of these contingencies is required to ensure that they are realistic, justified, and aligned with the scheme's scope and potential risks. This will help maintain financial flexibility throughout the scheme's lifecycle.
3.5	**Total Financial Benefits of the Scheme** The financial benefits assessment evaluates the scheme's direct revenue generation potential and the financial savings it can provide to the state. **Revenue Generation** This section outlines the expected direct financial benefits of the scheme. It includes a breakdown of revenue sources. *Example*: Revenue from construction of a new road/highway, with the assumptions behind these estimates. **a) Toll Revenue** • **Number of vehicles/days**: Let's assume that the road is used by 10,000 vehicles a day. • **Toll rate per vehicle**: The toll rate for cars is ₹50, and for trucks, it's ₹150. Let's assume 80% of vehicles are cars, and 20% are trucks. • **Annual Toll Revenue Calculation**: o Car revenue per day = 10,000×0.8×5010,000×0.8×50 = ₹400,000/day. o Truck revenue per day = 10,000×0.2×15010,000×0.2×150 = ₹300,000/day.

Annexure E: Description to fill Appraisal Note

Ref	Description

- Total revenue per day = ₹400,000 + ₹300,000 = ₹700,000/day.
- Annual toll revenue = ₹700,000 × 365 = ₹255,500,000.

b) Leasing of Property (Commercial Use)

- **Lease rate per property**: For example, let's assume a rest stop near the road can be leased for ₹10,000/month.
- **Number of properties leased**: Suppose 5 such properties are leased.
- **Annual Leasing Revenue**:
  - Monthly lease revenue = ₹10,000 × 5 properties = ₹50,000/month.
  - Annual leasing revenue = ₹50,000 × 12 = ₹600,000/year.

c) Advertising Revenue

- **Number of advertising units**: Let's assume 10 billboards are set up along the road.
- **Price per advertising unit**: Assume each billboard brings in ₹25,000/month.
- **Annual Advertising Revenue**:
  - Monthly advertising revenue = ₹25,000 × 10 billboards = ₹250,000/month.
  - Annual advertising revenue = ₹250,000 × 12 = ₹3,000,000/year.

d) Public Transport Revenue

- If the road includes **dedicated lanes for buses** or **metro stations**:
  - **Number of passengers/years**: Suppose 500,000 people use the bus services annually.
  - **Ticket price per passenger**: ₹20 per trip.
  - **Annual Public Transport Revenue**:
    - Total annual revenue = 500,000 passengers × ₹20 = ₹10,000,000/year.

Table 1(a) Revenue Generation

Financial Year	Source	Calculation Formula	Annual Cash Flow (₹)
Year 1	**Toll Revenue**	10,000 × 0.8 × 50 × 365 + 10,000 × 0.2 × 150 × 365	₹255,500,000
Year 2	**Leasing of Property**	10,000 × 5 × 12	₹600,000
Year 3	**Advertising Revenue**	25,000 × 10 × 12	₹3,000,000
Year 4	**Public Transport Revenue**	500,000 × 20	₹10,000,000
	Total Revenue	(Sum of all above)	**₹268,100,000**

Financial Savings

Annexure E: Description to fill Appraisal Note

Ref	Description
	a) Time Savings (Reduced Travel Time) • **Commuters**: Let's assume 10,000 commuters use the road daily. • **Time saved**: Assume, on average, each commuter saves 20 minutes per day due to reduced congestion. • **Average wage**: Let's use ₹300/day as the average wage of commuters (approximately ₹15,000/month). • **Annual Time Savings Calculation**: o Time saved per day = 10,000×20 min=200,000 minutes/day10,000×20 min=200,000 minutes/day. o Convert to hours: 200,000 min60=3,333 hours/day 60200,000 min=3,333 hours/day. o Value of time saved per day = 3,333 hours/day×300 ₹/hour=₹999,900/day3,333 hours/day×300 ₹/hour=₹999,900/day. o Annual time savings = ₹999,900 × 365 = ₹365,963,500/year. **b) Fuel Savings (Reduced Fuel Consumption)** • **Reduced Reduced fuel consumption**: Let's assume the road reduces fuel consumption by 1 litre per vehicle per day due to better traffic flow. • **Fuel price**: ₹100 per litre. • **Number of vehicles**: 10,000 vehicles use the road. • **Annual Fuel Savings Calculation**: o Total fuel savings per day = 10,000×1 liter=10,000 liters/day10,000×1 liter=10,000 liters/day. o Total fuel savings per day (₹) = 10,000 × ₹100 = ₹1,000,000/day. o Annual fuel savings = ₹1,000,000 × 365 = ₹365,000,000/year. **c) Carbon Footprint Reduction (Environmental Savings)** • **Emissions reduction**: Let's assume that reducing fuel consumption by 10,000 litres/day reduces CO2 emissions by 20 tons/day (based on general emission factors for fuel). • **Social cost of carbon**: Let's assume a value of ₹2,500 per ton of CO2. • **Annual Carbon Savings Calculation**: o Total CO2 savings per day = 20 tons. o Total carbon savings per day (₹) = 20 × ₹2,500 = ₹50,000/day. o Annual carbon savings = ₹50,000 × 365 = ₹18,250,000/year. **d) Reduced Accidents (Health and Insurance Cost Savings)**

Annexure E: Description to fill Appraisal Note

<table>
<tr><th>Ref</th><th>Description</th></tr>
<tr><td></td><td>

Accidents reduced: Assume that the new road design reduces accidents by 10% annually, saving 50 accidents a year.
Cost per accident: The cost of an accident, including medical, insurance, and legal costs, is roughly ₹500,000 per accident.
Annual Accident Savings Calculation:

Annual savings from accidents = 50 × ₹500,000 = ₹25,000,000/year.

e) Improved Public Health (Reduced Respiratory Diseases)

People impacted: Assume 1,000,000 people are affected by reduced pollution due to improved traffic flow.
Healthcare savings: Let's assume the reduction in respiratory diseases leads to ₹500 per person per year in savings on healthcare.
Annual Public Health Savings Calculation:

Annual savings from health improvements = 1,000,000 × ₹500 = ₹500,000,000/year.

<table>
<tr><th colspan="3">Table 1(b) – Financial Savings to the State</th></tr>
<tr><th>Benefit</th><th>Calculation Formula</th><th>Annual Monetary Value (₹)</th></tr>
<tr><td>Time Savings</td><td>10,000 × 20 min × ₹300/hour × 365</td><td>₹365,963,500</td></tr>
<tr><td>Fuel Savings</td><td>10,000 × 1 litre × ₹100/litre × 365</td><td>₹365,000,000</td></tr>
<tr><td>Carbon Footprint Reduction</td><td>20 tons × ₹2,500/ton × 365</td><td>₹18,250,000</td></tr>
<tr><td>Reduced Accidents</td><td>50 × ₹500,000/accident</td><td>₹25,000,000</td></tr>
<tr><td>Improved Public Health</td><td>1,000,000 × ₹500/person</td><td>₹500,000,000</td></tr>
<tr><td>Total Social Benefits</td><td>(Sum of all above)</td><td>₹1,274,213,500</td></tr>
</table>
Total Revenue Calculation (Revenue + Social Benefits)
<table>
<tr><th>Source</th><th>Annual Cash Flow (₹)</th></tr>
<tr><td>Total Revenue</td><td>₹268,100,000</td></tr>
<tr><td>Total Social Benefits</td><td>₹1,274,213,500</td></tr>
<tr><td>Total Revenue (Revenue + Social Benefits)</td><td>₹1,542,313,500</td></tr>
</table>
</td></tr>
<tr><td>3.6</td><td>
Financial Feasibility and Return on Investment:
This section will explain the financial feasibility of the road construction scheme by providing a detailed analysis of the expected Net Present Value (NPV), Internal Rate of Return (IRR), and the payback period. Additionally, it will outline the revenue streams, social benefits, operational costs, and how financial sustainability will be ensured over the scheme's lifecycle. To illustrate these concepts, let's take the example of constructing a road, which will include toll revenue generation, job creation, and ongoing operational costs as key financial factors.

Net Present Value (NPV):

NPV measures the difference between the present value of cash inflows (revenue and social benefits) and the present value of cash outflows (operational costs)
It considers the time value of money by discounting future cash flows back to their present value

Internal Rate of Return (IRR):
</td></tr>
</table>

Annexure E: Description to fill Appraisal Note

Ref	Description

- **IRR** is the discount rate that makes the NPV of the scheme equal to zero. It's a way to measure the scheme's profitability.

Payback Period:

- The **Payback Period** is the time it takes for the initial investment to be recovered through net cash flows.

Financial Sustainability:

- **Financial sustainability** will be ensured by maintaining consistent **toll revenue** and **social benefits** over the scheme's lifecycle, while controlling **operational costs** and ensuring proper **maintenance funding**.

Net Present Value (NPV) Calculation

The **Net Present Value (NPV)** is calculated by discounting the future cash flows to the present and subtracting the initial investment.

Given:

- **Annual Cash Flow**: ₹1,542,313,500 (sum of all revenue and social benefits).
- **Initial Investment**: ₹500,000,000 (assumed).
- **Discount Rate**: 6%.
- **Time Horizon**: 5 years.

For keeping it simple here, we are not adjusting the cashflows with inflation or growth rate but originally the schemes cashflows will be adjusted to the inflation and growth rate. Here, the cash flows are constant for each year, the discounted cash flow (DCF) for each year is calculated using the formula:

We calculate this for each year:

Year	Cash Flow (₹)	Discount Factor (1 / (1 + 0.06) ^t)	Discounted Cash Flow (₹)	Cumulative Discounted Cash Flow (₹)
1	1,542,313,500	0.943396	₹1,453,871,563	₹1,453,871,563
2	1,542,313,500	0.890000	₹1,373,396,811	₹2,827,268,374
3	1,542,313,500	0.839619	₹1,294,012,760	₹4,121,281,134
4	1,542,313,500	0.792168	₹1,221,960,367	₹5,343,241,501
5	1,542,313,500	0.747258	₹1,150,415,897	₹6,493,657,398

Total Discounted Cash Flow (5 Years): ₹6,493,657,398

Subtract Initial Investment: ₹6,493,657,398 - ₹500,000,000 = ₹5,993,657,398

NPV for 5 years: ₹5,993,657,398 (This is tentative, originally will be adjusted with a terminal growth rate and terminal value as depicted in the sample excel model attached.)

Internal Rate of Return (IRR)

- The **IRR** is the discount rate that makes the NPV equal to zero.

Annexure E: Description to fill Appraisal Note

Ref	Description

- For this data set, the **IRR** is approximately **208.46%**.

Payback Period Calculation

The **Payback Period** is the time it takes for the scheme to recover its initial investment from the cumulative cash flows.

Formula:

Start with the initial investment (₹500,000,000). For each year, add the annual cash flow to the cumulative cash flow and track when the cumulative cash flow exceeds the initial investment.

Year	Cash Flow (₹)	Cumulative Cash Flow (₹)
0	-500,000,000	-500,000,000
1	1,542,313,500	₹1,042,313,500
2	1,542,313,500	₹2,584,627,000
3	1,542,313,500	₹4,126,940,500
4	1,542,313,500	₹5,669,254,000
5	1,542,313,500	₹7,210,567,500

The **initial investment of ₹500,000,000** is fully recovered during **Year 1**, and the surplus is ₹1,042,313,500.

Payback Period: 1 Year

Conclusion and Financial Sustainability Commentary:

1. **NPV (₹5,993,657,398)**:
   - A positive NPV indicates that the scheme is profitable and expected to generate value over its life, especially with a large surplus in discounted cash flows.
   - Since NPV is positive, the scheme should proceed.
2. **IRR (208.46%)**:
   - The IRR of 208.46% is extremely high, indicating that the scheme is highly profitable and offers a return much higher than the cost of capital (6% discount rate).
   - This suggests a very high financial return, further confirming the scheme's attractiveness.
3. **Payback Period (1 Year)**:
   - The payback period is very short (1 year), which means the scheme will recover its initial investment quickly.
   - This is a strong indicator of financial sustainability since investors will get their initial capital back rapidly, and any subsequent revenue is pure profit.

Overall Financial Sustainability:

- With a high IRR, short payback period, and significant NPV, this scheme appears financially sustainable and profitable.
- The rapid return on investment (within 1 year) and the positive NPV over 5 years make it a financially sound venture

E.4 Implementation

This section should provide evidence that a basic implementation plan has been considered. Although detail will not be possible or necessary at this early stage, basic planning will require consideration of the main challenges in implementing the scheme, even though this may be adjusted as detailed planning progresses. Basic information at this stage should include a timeline for implementation and a consideration of the risks involved in implementing the scheme effectively, as well as a consideration of engagement with stakeholders in the scheme. The proposed governance and decision-making process should be explained with clear roles and responsibilities. This should also identify which official is accountable for the scheme.

Ref	Description
4.1*	**Outline the planned timelines of the scheme:** The scheme implementation is divided into two key phases: Before the start of the scheme (covering pre-implementation planning and approvals) and once the scheme has started (covering execution, monitoring and evaluation) **Indicative table for infrastructure schemes**

a) Before the start of the scheme

Stage	Substage	Start Date	End Date
Planning & Surveys	Initial Surveys		
	Feasibility Study		
DPR Preparation	Environmental & Social Impact Assessment		
	Regulatory Clearances		
	DPR Development		
Approvals & Clearances	Administrative & Budgetary Approvals		
Tendering/ Procurement	Draft Tender		
	Consultation Process		
	Publishing of Tender on Government portals		
	Bid Received		
	Evaluation of bids		
	Issue of work order		

b) Once the Scheme has started

Stage	Substage	Start Date	End Date
Pilot/Testing Phase	Pilot Implementation		
	Testing and Feedback		
	Pilot Review and Adjustments		

Annexure E: Description to fill Appraisal Note

Full Scale Implementation	Scheme Rollout		
	Monitoring and Supervision		
Outcome Monitoring	Post Implementation Review		
	Impact Assessment		
	Reporting and Documentation		

Indicative template for Direct Benefit Transfer:

a) Before the start of the scheme

Stage	Substage	Start Date	End Date
Beneficiary Identification	Data Collection		
	Verification of Beneficiary Data		
	Beneficiary Enrolment		
System Setup	Application Portal & Digital Infrastructure		
Application Process	Application Submission		
	Application Review		
	Approval and Notification		
Testing & Pilot Phase	Testing & Pilot Implementation		

b) Once the Scheme has started

Stage	Substage	Start Date	End Date
Implementation	Preparation of Disbursement		
	Fund Transfer		
	Confirmation and Acknowledgement		
Monitoring and Evaluation	Monitoring		
	Beneficiary Feedback		
	Impact Assessment		
	Grievance Registration		
	Resolution Process		
	Tracking & Follow up		

Indicative table for a supply scheme:

a) Before the start of the scheme

Stage	Substage	Start Date	End Date
DPR Preparation	Initial Surveys		
	Feasibility Study		
	Environmental & Social Impact Assessment		
	DPR development		
Tendering/	Draft Tender		

Annexure E: Description to fill Appraisal Note

Procurement	Consultation Process		
	Publishing of Tender		
	Bid Received		
	Evaluation of Bids		
	Issue of Work Order		
Supply Chain Management	Vendor Coordination		
	Inventory Planning & Demand Forecasting		

b) Once the Scheme has started

Stage	Substage	Start Date	End Date
Pilot/Testing Phase	Pilot Implementation		
	Testing and Feedback		
	Pilot Review & Adjustments		
Full Scale Implementation	Scheme Rollout		
	Monitoring & Supervision		
Supply Chain Management	Quality Control & Assurance		
Outcome Monitoring	Post Implementation Review		
	Impact Assessment		
	Reporting and Documentation		

Indicative table for Service Delivery Scheme

a) Before the start of the scheme

Stage	Substage	Start Date	End Date
Scheme Planning & Preparation	Needs Assessment		
	Feasibility Study		
	Service Design		
Tendering/ Procurement	Draft Tender		
	Consultation Process		
	Publishing of Tender		
	Bid Received		
	Evaluation of Bids		
	Issue of Work Order		

b) Once the Scheme has started

Stage	Substage	Start Date	End Date
Service Implementation	Pilot Implementation		
	Testing & Feedback		
	Pilot Review and Adjustments		
	Full Scale Service Rollout		
	Service Monitoring		

Annexure E: Description to fill Appraisal Note

Outcome Monitoring & Evaluation	Post Implementation Review		
	Impact Assessment		
	Reporting and Documentation		

Indicative table for Institutional Support Scheme

a) Before the start of the scheme

Stage	Substage	Start Date	End Date
Fund Allocation	Budget Estimation		
	Approval Process		
	Institutional Capacity Assessment		
Monitoring & Compliance Setup	Compliance Framework Design		
	Reporting Mechanisms		
Outcome Planning	Baseline Impact Assessment		

b) Once the Scheme has started

Stage	Substage	Start Date	End Date
Utilization	Disbursement to Institution		
	Salary & Operational Expenditure		
Monitoring & Compliance	Financial Audits		
	Impact Assessment		
	Performance Monitoring		
	Compliance Reporting		
Outcome Assessment	Impact Review		

Indicative table for Training & Capacity Schemes

a) Before the start of the scheme

Stage	Substage	Start Date	End Date
Needs Assessment & Planning	Identification of Training Needs		
	Curriculum Development		

b) Once the scheme has started

Stage	Substage	Start Date	End Date
Training Implementation	Enrolment & Awareness		
	Training Sessions		
Post Training Support & Monitoring	Adoption of Practices		
	Impact Assessment		
	Impact Measurement		
Documentation & Scaling	Knowledge Dissemination		

Annexure E: Description to fill Appraisal Note

4.2 **Mandatory Approvals/Clearances and their Status**

The details regarding the requirement of mandatory approvals / clearances of various local, state and national bodies and their availability may be indicated in a tabular form. Also indicate whether there are any critical clearances which, if not addressed could impact the project implementation.

S. No	Approvals / Clearances Required	Agency concerned	Availability (Y/N)

4.3 **What are the possible risks to scheme timelines and costs? List each. What measures are being incorporated to mitigate such risks/delays?**

Focus on identification and assessment of Scheme risks and how these are proposed to be mitigated. Risk could include legal/contractual risks, environmental risks, revenue risks, scheme management risks, regulatory risks, etc.:

Risk Category	Description	Rating (Low/Moderate/High)	Mitigation Measures
Sector Strategies and Policies			
Design of the Project – ▪ implementation design, ▪ technological complexities, ▪ climate risks ▪ others			
Institutional Capacity for implementation (including capacity of participating States and local bodies)			
Financial Management and Procurement (including capacity)			
Environmental & Social Impact			
Others - ▪ legal ▪ regulatory ▪ others (specify)			

Some of the risks are as below:

Risk	Description	Rating (Low/Moderate/High)	Mitigation Measures
Single bid leading to failure	Only one bid received, resulting in tender failure and delays	Moderate	Broaden advertising reach, engage potential bidders early, and simplify the bidding process
Increase in costs of raw materials	Rising prices of materials over time leading to budget overruns	High	Secure long-term contracts with suppliers, include contingency funds in the budget, and monitor market trends

Annexure E: Description to fill Appraisal Note

Delayed approvals	Slow approval processes causing delays	Moderate	Engage stakeholders early, follow up regularly, and establish a clear process timeline
Inadequate resource allocation	Insufficient resources causing scheme delays	High	Conduct thorough resource planning, regularly review resource needs, and allocate additional resources if required
Contractor performance issues	Poor performance or non-compliance of contractors leading to quality and time issues	Moderate	Conduct thorough vetting, include performance clauses in contracts and monitor contractor performance
Permits and clearances delays	Delays in obtaining necessary approvals	High	Engage with respective authorities early, understand the permission processes and allocate time for potential delays
Supply chain delays	Disruptions in supply chains impacting material availability	Low	Diversify suppliers, establish alternate supply routes, and maintain buffer stock of critical materials
Labor shortages	Lack of skilled labour leading to scheme delays	Medium	Provide capacity development drives, prepare a recruitment plan and collaborate with labour agencies
Design changes	Mid-work design changes causing rework and delays	Low	Establish a design review process with timelines, involve stakeholders in design phase, and limit changes post approval
Stakeholder conflicts	Disputes leading to delays	High	Facilitate regular communication, set timelines for resolution, resolve conflicts early and involve mediator if needed
Climate change and environmental risks	Increased frequency of extreme weather events, natural disasters, and environmental degradation affecting progress.	High	Conduct Environmental Impact Assessments (EIA), implement climate resilient designs, and develop emergency response plans

4.4 **Are there any environmental impacts of the scheme? What mitigation measures are incorporated into the scheme design?**

Environmental impact assessment: Environmental impact assessment should be undertaken, wherever required and measures identified to mitigate adverse impact, if any. Issues relating to land acquisition, diversion of forest land, rehabilitation and resettlement should be addressed in this section. If there is a National Standards for such EIA assessment from MoEF then may be used as a benchmark. Whether the project is secured against natural / man-made disasters like floods, cyclones, earthquakes.

	Direct Impact or Risk (L/M/H)	Proposed Mitigation or Enhancement Measures
Environmental		
Air emissions and air quality		
Energy use and conservation		
Wastewater and water quality		
Water use and conservation		
Use of hazardous materials		
Waste production/management/treatment		
Land contamination/land use, soil sealing		
Biodiversity and natural resources/possible impacts on protected areas		
Noise impacts/vibrations		
Climate Change (mitigation/adaptation) impacts		
Possible direct/indirect, cumulative/short-term, long-term impacts		

L-Low; M-Medium; H-High.

4.5 **Are there any social impacts of the Scheme? Does the scheme comply with all applicable labour laws and worker welfare regulations?**

Social Impact Assessment: Social impact assessment involves identifying stakeholder groups that are likely to experience major welfare losses (or gains) due to the project and how the project has addressed the same

	Direct Impact or Risk (L/M/H)	Proposed Mitigation or Enhancement Measures
Social		
Labour and working conditions		
Occupational health and safety		
Community health, safety and security		
Land acquisition and involuntary resettlement*		
Gender		
Minority groups		
Poverty impact		
Regional/local economic development		
Cultural heritage		

4.6* **List the agencies, utilities, regulatory institutions, or other stakeholders involved in the implementation of the proposed scheme?**

Indicative template for DBT scholarship scheme:

Annexure E: Description to fill Appraisal Note

Stakeholder	Role	Concerns and issues
Government Agency	Oversee the scholarship administration	Changing priorities, Effective disbursement, transparency, bureaucratic delays, and technical issues
Scholarship Recipient	Receive scholarship directly into their bank accounts	Timely receipts and bank account issues
Educational Institutes	Schools, colleges, and universities where students enrol	Academic and financial benefits to students and verifying eligibility
Financial Institutions	Process and transfer scholarship funds	Efficient processing, frauds, and technical glitches
Parents/guardians	Ensure funds are received on time and used for education	Lack of ability to track usage
Community Organizations	Support students in applying and managing scholarships	Limited reach and lack of resources

'**Stakeholders'** are interested parties in the scheme. They are either persons or representative bodies that have an interest in the outcome of the proposal or those that may be affected by it. List them here.

Many implementation problems arise due to the need for liaison with utilities and regulatory bodies not being addressed at an early enough stage. This is a common cause for delays in many schemes across the world, and early planning and contact with these bodies will help to plan the work and negotiations required to keep a scheme on track. Therefore, please list all the agencies, utilities and regulatory bodies that will need to be consulted – in particular. Also write a very brief description of the legal/regulatory/permitting/institutional issues that need to be discussed with each of these bodies.

Clearly identify the scheme stakeholders who have different roles to play in the scheme planning, implementation and delivery. Stakeholders should not just be Government Departments but may be industry members, farmer unions, common citizens groups etc. who may act as influencer or mode for end point service delivery. Also, what role other Departments would play in scheme delivery (ex. Beneficiary identification, assist in delivery end point).

Against each of the stakeholders, indicate whether they have been consulted and if so, in a word or two, whether they support or do not support the scheme. This can be ascertained through initial contact/consultation.

The detailed role needs to be captured (e.g., regulatory, coordination related or involvement in service delivery) and also the point of involvement (ex in planning, implementation etc.). E.g., The common service centre can be used at end point for delivery of multiple services targeted at end citizens, associations can be stakeholders for any trader specific schemes.

4.7 **What resources (technical, scheme management, field implementation etc.) are required to ensure scheme success? Does the Department possess enough capacity and personnel? If not, what measures are proposed to increase the Department's capacity?**

The total human resource/personnel required to implement the scheme, including capacities of the scheme, the personnels at various levels like for scheme management, technical capacity, field management and

implementation, the Department to think through and share the need of the resources like PMU/contractual resource, etc. for sustainable delivery.
The physical resources necessary to implement the scheme in the required timescale should be listed here with approximate quantities and lead times for procuring them. State whether these resources are available domestically or might need to be imported; from where and what availability is possible. Resources can include manpower, technical advice, Capacity Building etc.

An indicative template is as below:

Resource	Description	Department's capacity	Proposed measures to increase capacity
Technical Resources	IT infrastructure, software for application processing, databases, and online platforms	Limited and need for upgraded systems	Infrastructure, procure specialized software
Scheme Management	Scheme Managers, planning tools, monitoring and evaluation framework	Insufficient PM personnel	Hire experienced scheme managers, provide training for existing staff
Field Implementation	Field Officers for outreach, verification and support to farmers	Moderate number of field staff, high workload	Recruit additional field officers, establish partnerships with NGOs
Financial resources	Budget allocation, administrative costs and contingency funds	Adequate for current scale	Identify additional sources of funding through collaborations
Human Resources	Administrative staff, application evaluators, customer support teams	Staff shortage and overburdened team	Increase staffing levels, provide professional development opportunities
Training	Training program for staff on application processing IT systems and customer service	Inadequate training program available	Develop comprehensive training modules, conduct regular training capacity building workshops
Marketing and outreach	Awareness campaigns, marketing material and public engagement	Limited reach, need for enhanced communication strategies	Targeted outreach programs, use of social media, radio and print media.
Policy makers	Guidelines and quality assurance measures	Updates required on existing policies	Based on feedback received update the policies regularly

4.8 **Does the Department plan to utilize an Information, Education, and Communication (IEC) strategy to generate awareness and engage stakeholders?**
IEC strategy is one of the core activities of program. IEC related activity will generate awareness among the state population about the objectives, mission, vision, benefits due to the improvement of scheme service delivery. The IEC strategy comprises of

	i. overall state-wide awareness generation about need for and importance of good scheme services; and ii. sub scheme specific communication and consultation with the residents and communities to enhance social consensus, acceptance and ownership of the proposed interventions. In case, the Department does not have an IEC strategy, the following steps may be adopted to form an IEC strategy (for a scholarship program): **Define Objectives:** • Awareness: Ensure the target audience know about the scholarship program • Education: Provide detailed information about eligibility, application process and benefits • Engagement: Foster interaction and feedback from stakeholders **Identification of target beneficiaries:** • Students and parents • Education institutes and teachers • Community organizations **Development of Key Messages:** • Opportunity: Mention the benefits of the scholarship • Eligibility criteria • Application process • Deadlines **Communication Channels** • Digital Platforms: Website, social media, emails, newsletters etc • Print media • Events and workshops • Partnerships **Content and Material** • Brochures • Social Media posts • Videos • FAQs **Monitoring and Evaluation** • KPIs: Website traffic, social media engagement etc • Feedback mechanism • Adjust strategy based on feedback
4.9	**Does the Scheme incorporate the latest technologies and data management solution to optimize its design, implementation, and monitoring processes?** • Include specific technologies (e.g., AI, IoT, cloud computing) and their application in the scheme • Describe how these technologies will improve scheme performance, optimize processes etc. *Example:*

Annexure E: Description to fill Appraisal Note

	i. overall state-wide awareness generation about need for and importance of good scheme services; and ii. sub scheme specific communication and consultation with the residents and communities to enhance social consensus, acceptance and ownership of the proposed interventions. In case, the Department does not have an IEC strategy, the following steps may be adopted to form an IEC strategy (for a scholarship program): **Define Objectives:** • Awareness: Ensure the target audience know about the scholarship program • Education: Provide detailed information about eligibility, application process and benefits • Engagement: Foster interaction and feedback from stakeholders **Identification of target beneficiaries:** • Students and parents • Education institutes and teachers • Community organizations **Development of Key Messages:** • Opportunity: Mention the benefits of the scholarship • Eligibility criteria • Application process • Deadlines **Communication Channels** • Digital Platforms: Website, social media, emails, newsletters etc • Print media • Events and workshops • Partnerships **Content and Material** • Brochures • Social Media posts • Videos • FAQs **Monitoring and Evaluation** • KPIs: Website traffic, social media engagement etc • Feedback mechanism • Adjust strategy based on feedback
4.9	**Does the Scheme incorporate the latest technologies and data management solution to optimize its design, implementation, and monitoring processes?** • Include specific technologies (e.g., AI, IoT, cloud computing) and their application in the scheme • Describe how these technologies will improve scheme performance, optimize processes etc. *Example:*

	• The Punjab Mandi Board has implemented GIS mapping and drone-based land surveys for tracking market infrastructure schemes, ensuring transparency and efficient land utilization. • Punjab Smart Cities Mission employs IoT and AI-based traffic management systems to improve urban mobility and reduce congestion.

E.5 PPP Applicability

PPP is a collaboration between the government and a private partner to design, finance, build and operate public service where the users of the service are charged. Both partners share responsibilities, risks and rewards. This section identifies the roles of each stakeholder and the reasons for allocating these roles to the respective stakeholder. This section also outlines the risk-sharing between these stakeholders. Revenue streams are to be identified. Learnings from implementing similar schemes in Punjab or outside are to be covered to ensure they are considered while implementing the current scheme.

Ref	Description
5.1	**What roles are envisaged for the Government and Private Sector?** Roles identified for the government and the private sector should be elaborated. Some examples of roles for each partner are: **Roles for the Government may include:** I. Provide land/starting infrastructure II. Facilitate permits and clearances III. Provide approval on design documents/drawings/DPR. IV. Provide mobilization advance, if applicable V. Provide capex, if applicable VI. Monitor progress and quality VII. Others **Roles for the Private Sector may include:** I. Design and planning II. Financing specific elements of the scheme III. Construction/build-out/implementation IV. Operation and maintenance V. Collect revenue, if applicable VI. Safety and security VII. Transfer back the scheme along with scheme facilities to the Government at the end of scheme duration VIII. Others
5.2	**What is reason for allocating the above roles in 5.1 to Private Partner?** For each role identified above, please mention the reasons for allocating the role to that specific stakeholder. For example: **Reasons for allocating to Government may be:** I. Government owns the land II. Government can facilitate intergovernmental coordination III. Design sign-off is required from the Government IV. Government is the ultimate owner of the scheme, so monitoring is Government's responsibility

Annexure E: Description to fill Appraisal Note

<table>
<tr><th>Ref</th><th>Description</th></tr>
<tr><td></td><td>Reasons for allocating to the Private Sector may be:
I. Private sector has latest technology, and skill sets to design and construct
II. Private sector has funds to invest in infrastructure
III. Private sector brings in efficiency and expertise in Operation and maintenance
IV. Timely delivery
V. Better quality
VI. Reduced costs</td></tr>
<tr><td>5.3</td><td>Please indicate (tick ✓) the proposed risk allocation between private and public sector below:
Please allocate each risk to the concerned stakeholder. The risks may also be added to the table below as per the requirement of the scheme. As an example, in a PPP road scheme the risk allocation may be as follows:

<table>
<tr><th>Risk Category</th><th>Public Sector</th><th>Shared</th><th>Private Sector</th><th>Risk Impact (and any other information)</th></tr>
<tr><td>Design risk</td><td>✓</td><td></td><td></td><td>Designs are to be provided by the Government.</td></tr>
<tr><td>Land acquisition and resettlement</td><td>✓</td><td></td><td></td><td>Land is to be provided by the Government free from all encumbrances.</td></tr>
<tr><td>Financing risk</td><td></td><td></td><td>✓</td><td>The Private Partner is to arrange for finance from its own sources or from loans from lenders.</td></tr>
<tr><td>Construction/build-out risk</td><td></td><td></td><td>✓</td><td>The private partner is to undertake construction</td></tr>
<tr><td>Operating risk</td><td></td><td></td><td>✓</td><td>Entire operations are to be conducted by the Private Partner.</td></tr>
<tr><td>Environmental/ social risk</td><td></td><td></td><td>✓</td><td>The private partner is to ensure mitigation of environmental and social risks</td></tr>
<tr><td>Demand/revenue risk</td><td></td><td>✓</td><td></td><td>If traffic is lower than a threshold then the Government may</td></tr>
</table>
</td></tr>
</table>

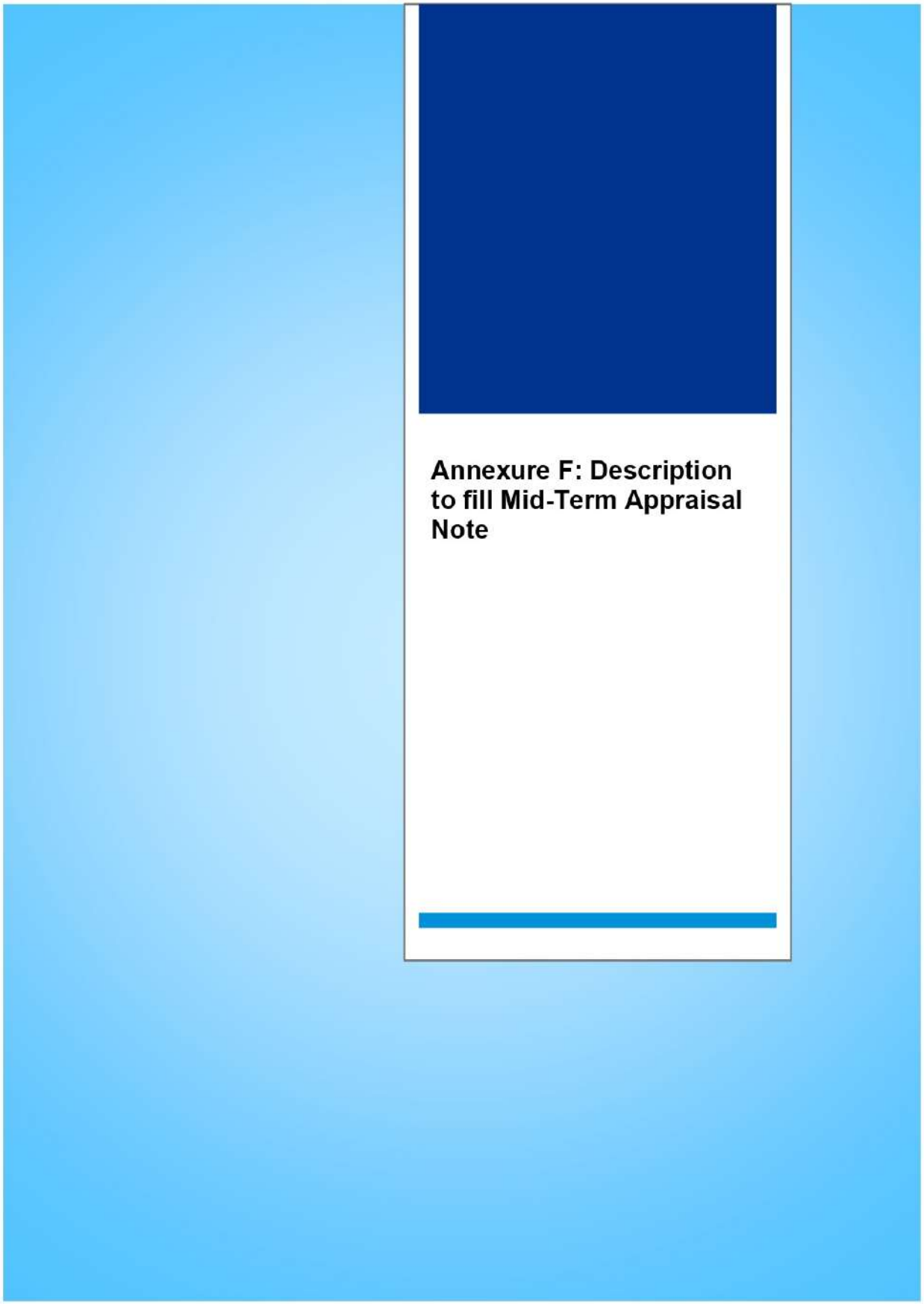
Annexure E: Description to fill Appraisal Note

<table>
<tr><th>Ref</th><th>Description</th></tr>
<tr><td></td><td>
<table>
<tr><td></td><td></td><td></td><td></td><td>guarantee minimum revenue. If traffic increases beyond a limit, a pre agreed % share of revenue is to be divided between the Government and the Private partner.</td></tr>
<tr><td>Regulatory Risk</td><td>✓</td><td></td><td></td><td>Regulatory risks are adequately covered in the Force Majeure clauses of the Concession Agreement</td></tr>
</table>

The list of risks may be increased as per the requirement of the scheme.
</td></tr>
<tr><td>5.4</td><td>Would any legislation/regulation need to be enacted/modified to allow the private sector to deliver and charge for services?
To implement the current scheme in PPP mode, kindly mention whether there is a need to bring in any act or policy or if there is any act or policy that requires any changes.</td></tr>
<tr><td>5.5</td><td>Estimated period of contract/partnership with the private entity
Mention the estimated duration of the PPP scheme. For example, a highway is to be developed and operated on PPP for which the agreement has been signed between the Government and the private partner for a period of 20 years. For the first 2 years, the private partner will construct the highway, and for the remaining 18 years, the private partner will operate and maintain it. This duration also includes the construction period.</td></tr>
<tr><td>5.6</td><td>Estimated start month/year of partnership
Mention the month and the year when the contract is expected to be signed between the Government and the private partner. This may be based on a broad estimation.</td></tr>
<tr><td>5.7</td><td>Has the Department thought about all the difference sources of revenues?
Mention all the different sources of revenues that have been identified.
For example, in a Road scheme where Private Partner finances the 100% of the cost of construction and operation of roads and in return collects revenues from the users of the road. A portion of this revenue goes to Government and remaining is retained by Private Partner. In such scenario following may be sources of revenue:
1. % of user charges: Toll charges from users of the road is collected by Private Partner. A portion of these user charges (say 7%) goes to Government.</td></tr>
</table>

Annexure E: Description to fill Appraisal Note

Ref	Description
	2. Private partner contribution: funding from the private partner for construction and operation. 3. As the scheme gets implemented, the land values of the land in proximity to the scheme are going to increase. These revenues are to be tapped by the Government Department signing the PPP agreement. 4. By providing advertising rights throughout the scheme, revenue may be generated. 5. If the resources mentioned above are not sufficient to operate the scheme, then identify the alternate sources or this risk needs to be mitigated.
5.8	**Are you aware of a similar scheme being delivered through a PPP Model elsewhere in Punjab or outside Punjab?** Identify similar PPP schemes executed within Punjab or outside Punjab. Identify the Department that implemented the scheme. Approaching those stakeholders will provide major learnings from that scheme. This will help in avoiding the same risks and pitfalls in the current scheme.
5.9	**Has the scheme received any feedback from banks or any Private agency?** If any private agency, including a lender has been approached for this scheme, then its feedback about the scheme will be imperative to capture. Incorporating their feedback can reduce bottle necks during the scheme financing and implementation.


Annexure F: Description to fill Mid-Term Appraisal Note

F Annexure F: Description to fill Mid-Term Appraisal Note

F.1 Executive Information and Scheme Profile

This section provides a high-level summary of key scheme details. Fill this section after completing the rest of the template with concise responses.

Ref	Description
1.1	**Implementation Agency and Sponsoring Administrative Department (AD)** Identify the Implementation Agency responsible for submitting or implementing the Scheme and the concerned Sponsoring Administrative Departments.
1.2	**Scheme ID Number** The Scheme ID Number is assigned after the scheme is submitted/registered at the Planning Department.
1.3	a. **Scheme Title** State the official, full title of the scheme (working titles can be used initially, but the final title should be used once the scheme is accepted and issued with a reference number).
	b. **Submission Date** The date the Scheme is submitted to PIM/Planning Team for review/approval for the first time.
1.4	**Scheme Description** Provide a brief summary of the scheme and its objectives in two to three lines.
1.5	**Sector and Scheme Classification** Indicate the scheme under an appropriate sector by ticking the appropriate option(s): ☐ Agriculture and Animal Husbandry ☐ Housing and Urban Development ☐ Food and Civil supplies ☐ Education ☐ Health & Family welfare ☐ Industries ☐ Labour ☐ Infrastructure (transport, water resources and supply, power, wastewater, etc.) ☐ Planning ☐ Rural development ☐ Social Welfare ☐ Sports ☐ Technology & Innovation ☐ Defence ☐ Environment, Forest and wildlife ☐ Renewable energy ☐ Tourism

Annexure F: Description to fill Mid-Term Appraisal Note

Ref	Description
	☐ Others _____ Specify the relevant **sub-sector** it pertains to (e.g., Roads, Medical Infrastructure, School Equipment, IT Infrastructure etc.).
1.6	**Scheme Start Date, Progress to Date, and Completion Date** This question asks for key information regarding the scheme's timeline, including when it began, its progress status, and the originally planned completion date. Providing this information helps assess the scheme's progress relative to its initial schedule and identifies any potential delays or issues that may have arisen during implementation. • **Start Date:** The official date when the scheme was initiated, marking the beginning of scheme activities. • **Milestones Achieved:** A brief overview of the status of the scheme, highlighting key milestones achieved and any ongoing activities. • **Originally Planned Completion Date:** The date that was initially set for the scheme's completion before any adjustments were made based on unforeseen circumstances.
1.7	**Overall Scheme Cost (including Capital Expenditure, Revenue Expenditure)** This section provides a breakdown of the total cost required for the Scheme, covering all aspects including Capital Expenditure and Revenue Expenditure. ***Example 1:*** National Highway Expansion Scheme: • **Capital Expenditure:** Includes costs for land acquisition, construction of new lanes, bridges, and interchanges, as well as the purchase of construction materials and equipment. • **Revenue Expenditure:** Ongoing operational costs such as traffic management, toll collection, monitoring systems, and road safety operations. ***Example 2:*** Public Health Awareness Campaign: • **Capital Expenditure:** Investment in campaign development, media production (TV, radio, online content), and digital infrastructure for social media and website platforms. • **Revenue Expenditure:** Advertising costs, salaries for campaign managers and support staff, as well as the costs for local outreach programs and materials distribution. ***Example 3:*** Urban Water Supply System Upgrade: • **Capital Expenditure:** Costs for the construction of new water treatment plants, laying down pipelines, purchasing pumps, and setting up water filtration systems. • **Revenue Expenditure:** Day-to-day operational expenses such as water treatment chemicals, energy costs for running plants, wages of water supply staff, and distribution logistics.

Annexure F: Description to fill Mid-Term Appraisal Note

Ref	Description
1.8	**Is this a Public Private Partnership (PPP) Scheme?** A PPP is a collaboration between the government and private sector to deliver public infrastructure or services. Is this scheme under such an arrangement? **Reasons for implementing PPP.** **State the reasons for implementing PPP such as:** 1) Access to private sector expertise and innovation. 2) Shared financial burden and risk mitigation. 3) Faster Scheme delivery through private sector efficiency. 4) Long-term sustainability and maintenance managed by private partner.

F.2 Justification, Objective and Relevance

This section provides the rationale behind the Scheme, outlines its main objectives, and highlights its relevance to the broader goals or needs it aims to address.

Ref	Description
2.1	**What are the intended inputs (resources required), outputs (results expected from applying the inputs) and outcomes (long-term benefits)?**

KPIs

Department to indicate only top 5 key performance indicators that will be used to monitor the Scheme performance, along with unit of measurement and target to be achieved along with timelines. Clearly define what are the inputs to the Scheme, how they are mapped to the outputs and outcomes. KPIs should be objective and clearly measurable. An example is as below:

- **Inputs:** Inputs are resources viz. labour, material, equipment, buildings and other resources which are used in activities to produce outputs.
- **Outputs:** Outputs are the services or goods delivered to, or for the direct benefit of, public in order to achieve the outcomes.
- **Outcomes:** Outcomes are changes which government actions bring about in individuals, social structures or the physical environment.

Example 1: Development of new school building

Inputs

KPI	*Measurement Unit*	*Baseline*	*Target*	*Achieved*	*Method of measurement*	*Data Source*	*Validation*
Number of functional Classrooms to be developed in the primary schools	*Number*	*No. of classrooms already developed till date*	*10 classrooms to be developed*	*6 classrooms developed*	*Physical inspection and review of site development reports*	*On-site records and geo-tagged images*	*Validated by Third Party*

Annexure F: Description to fill Mid-Term Appraisal Note

Ref	Description

Outputs

KPI	Measurement Unit	Baseline	Target	Achieved	Method of measurement	Data Source	Frequency of Measurement	Validation
Number of students studying in schools	Number	Zero (if the school has not yet started), 100 (Students already enrolled if the school has functionally started while the construction is in progress.)	400 students	200 students studying	Students' attendance and admission records	School record books	Annual	Validated by Local Education Authority

Outcomes

(These are intended outcomes identified at the onset of the scheme. These should be linked to the larger goals outlined in the state's five-year agenda. Departments should plan for mid-term reviews to ensure alignment between scheme objectives and outcomes)

KPI	Measurement Unit	Baseline	Target	Method of measurement	Data Source	Frequency of Measurement	Validation
Increase in literacy rates in rural areas	Percentage (%)	60%	80%	Census and education department surveys	School records, literacy reports	Annual	Independent Survey

Wider Socio-Economic Impact

KPI	Measurement Unit	Baseline	Target	Method of measurement	Data Source	Frequency of Measurement	Validation
Reduction in dropout rates among low-income students	Percentage (%)	30% dropout rate	0% dropout rate	School retention analysis	Education department reports	Annual	Government review

Example 2: Providing an ambulance service

Inputs

KPI	Measurement Unit	Baseline	Target	Achieved	Method of measurement	Data Source	Validation
No. of functional ambulances deployed	Number	10 ambulances	20 ambulances	5 ambulances	Review of fleet records	Ambulance service logs	Internal audit, Real-time

Annexure F: Description to fill Mid-Term Appraisal Note

Ref	Description						
							GPD tracking
No. of emergency medical technicians (EMT)	Number	40 EMTs	80 EMTs		HR Records validation	Recruitment data	Internal audit

Outputs

KPI	Measurement Unit	Baseline	Target	Achieved	Method of measurement	Data Source	Frequency of Measurement	Validation
No. of emergency cases attended	Number	500 per month	700 per month	-	Service delivery records	Emergency call logs	Monthly	Service delivery records
Avg. response time in minutes	Minutes	15 minutes	10 minutes	-	Dispatch and response records	Ambulance service records	Monthly	GPD tracking

Outcomes

KPI	Measurement Unit	Baseline	Target	Method of measurement	Data Source	Frequency of measurement	Validation
Survival rate of critical patients	%	70% survival rate	85% survival rate	Medical records and follow up	Hospital and patient records	Annual	Validated by third party audit
Reduction in response time in high traffic areas	%	20% reduction	30% reduction	Geographic analysis and response records	Traffic and response time data	Annual	GPS tracking

Wider Socio-Economic Impact

KPI	Measurement Unit	Baseline	Target	Method of measurement	Data Source	Frequency of Measurement	Validation
Increase in accessibility to healthcare in rural areas	%	0%	70%	Field surveys & hospital admission data	Health department reports	Annual	Third-party verification

Example 3: Highway Expansion

Inputs

KPI	Measurement Unit	Baseline	Target	Achieved	Method of measurement	Data Source	Validation
Length of highway constructed	Kilometres	20,000 MT	50,000 MT	10,000 MT	Road surveys & Scheme reports	Engineering reports	Independent audit

Annexure F: Description to fill Mid-Term Appraisal Note

Ref	Description						
No. of trees planted along highway	*Number*	*0*	*200000*	*15000*	*Plantation records*	*Environmental reports*	*Third party verification*

Outputs

KPI	Measurement Unit	Baseline	Target	Achieved	Method of measurement	Data Source	Frequency of Measurement	Validation
No. of vehicles using expanded highway	*Number*	*2000 cars per day on the alternative road*	*1000 cars per day*	*-*	*Traffic survey*	*Traffic reports and toll records*	*Quarterly*	*Verified via toll and fast tag data*

Outcomes

KPI	Measurement Unit	Baseline	Target	Method of measurement	Data Source	Frequency of Measurement	Validation
Reduction in travel time	*%*	*0*	*30%*	*Travel time surveys and GPS tracking data*	*Traffic reports*	*Quarterly*	*Independent Verification*

Wider Socio-Economic Impact

KPI	Measurement Unit	Baseline	Target	Method of measurement	Data Source	Frequency of Measurement	Validation
Reduction in vehicular emissions	*%*	*0*	*30% reduction*	*Air quality monitoring*	*Environmental reports*	*Annual*	*Third Party Audits*

Example 4: Solar Irrigation for Agriculture

Inputs

KPI	Measurement Unit	Baseline	Target	Achieved	Method of measurement	Data Source	Validation
Number of functional solar pumps installed	*Number*	*50,000*	*100,000*	*20,000*	*Installation reports & physical inspection*	*Government records*	*Verified by field inspection*

Outputs

KPI	Measurement Unit	Baseline	Target	Achieved	Method of measurement	Data Source	Frequency of Measurement	Validation
Power generated by solar pumps	*Kilowatt-hours (kWh)*	*50 MW*	*100 MW*	*-*	*Energy metering and performance tests*	*Utility monitoring and performa*	*Monthly*	*Verified by independent*

Annexure F: Description to fill Mid-Term Appraisal Note

Ref	Description

						nce systems		meter readings

Outcomes

KPI	Measurement Unit	Baseline	Target	Method of measurement	Data Source	Frequency of Measurement	Validation
Impact on climate change	Metric tons (CO2e)	0%	20% reduction	Comparative environmental impact analysis	Environmental monitoring reports	Annual	Third party environmental audit
Reduction in ground water	%	0%	30% reduction	Analysis of water usage statistics	Water resource	Annual	Third party survey

Wider Socio-Economic Impact

KPI	Measurement Unit	Baseline	Target	Method of measurement	Data Source	Frequency of Measurement	Validation
Reduction in reliance on government agricultural subsidies	%	0%	50% reduction	Financial impact analysis	Ministry of Agricultural reports	Annual	Independent financial audit

Example 5: Scholarship program

Inputs

KPI	Measurement Unit	Baseline	Target	Achieved	Method of measurement	Data Source	Validation
Number of scholarships awarded	Number	30,000	50,000 scholarships	20,000	Review of scholarship record & award certification	University records, Ministry of Education data	Physical Verification and Independent audit

Outputs

KPI	Measurement Unit	Baseline	Target	Achieved	Method of measurement	Data Source	Frequency of Measurement	Validation
Number of students enrolling in higher education institutions	Number	40,000	80,000	20,000	Enrolment data	University admission	Annual	Third-party audit

Outcomes

KPI	Measurement Unit	Baseline	Target	Method of measurement	Data Source	Frequency of Measurement	Validation
Increase in graduation rate among students	%	500%	85%	Academic records and graduation data	University reports	Annual	Government assessment

Annexure F: Description to fill Mid-Term Appraisal Note

Ref	Description						
Enhancement of skills	*Score (CGPA)*	*0*	*7CGPA threshold*	*Analysis of semester exam results*	*Semester exam records*	*Semester*	*Set academic threshold*

Wider Socio-Economic Impact

KPI	*Measurement Unit*	*Baseline*	*Target*	*Method of measurement*	*Data Source*	*Frequency of Measurement*	*Validation*
Increase in employment rates for scholarship recipients	*%*	*0%*	*80%*	*Employment survey & university career records*	*Ministry of Labor reports*	*Annual*	*Third-party verification*

2.2 Beneficiary Details

Schemes can have specific, pre-identified beneficiaries (e.g., students receiving scholarships, BPL families receiving welfare benefits) or larger prospective beneficiaries (e.g., a road scheme that benefits all commuters, a hospital that serves the public).

a) Specific Beneficiaries

a. List the beneficiaries of the Scheme.

This question seeks to clarify the target group or population that the Scheme is currently serving. It aims to identify both the specific groups currently receiving benefits and those who have already benefited. Additionally, it includes future beneficiaries expected to be covered. A clear quantitative assessment should be provided, detailing the total number of beneficiaries, how many are currently enrolled or receiving benefits, and the number expected to be served in the future.

Example: Old Age Pension Program

- The Old Age Pension Program provides financial assistance to senior citizens above 60 years of age.
- Initially launched with 500,000 beneficiaries, the program now covers 850,000 senior citizens due to expanded eligibility criteria.

b. Has the number of beneficiaries increased over time? If yes, then how is the data kept updated?

If the number of beneficiaries has increased over time, it is important to outline the factors contributing to this growth. These may include scheme expansion, increased funding, policy changes, or adjustments in eligibility criteria. Additionally, explain how the data on beneficiaries is continuously updated to reflect these changes accurately.

Example: Old Age Pension Program

- The program has expanded by 70% over five years, growing from 500,000 to 850,000 beneficiaries.

Annexure F: Description to fill Mid-Term Appraisal Note

Ref	Description
	• Updates are incorporated through quarterly data validation, linking with the Aadhaar database, state revenue records, and social welfare department data. • Periodic verification ensures that deceased beneficiaries are removed, preventing misuse of funds. **c. How is beneficiary data validated?** *(Indicate the data sources for validation like UID)* Beneficiary data is validated through a combination of official records, field verification, and digital authentication mechanisms to ensure accuracy and prevent duplication or misreporting. *Example*: Old Age Pension Program • Aadhaar-based authentication ensures that beneficiaries are correctly identified before disbursement. • The program is linked with EPFO (Employees' Provident Fund Organization) and state revenue records to prevent pensions being given to government employees or financially stable individuals. • Automated cross-checking with death records ensures that deceased beneficiaries are immediately removed, preventing fraudulent claims **d. What controls are implemented to avoid duplication of beneficiaries across schemes?** To prevent duplication of beneficiaries across schemes, the following controls are implemented: • **Centralized Beneficiary Registry**: A unified database across departments ensures that beneficiaries are not enrolled in overlapping schemes. • **Inter-Departmental Coordination:** Data is shared among relevant departments to detect multiple enrolments. • **Policy-Level Restrictions:** Some programs restrict eligibility for beneficiaries already covered under similar initiatives. • **Real-Time Validation at Enrolment:** When a new beneficiary is added, the system automatically cross-checks existing records before approval. *Example:* Old Age Pension Program • Beneficiaries are checked against EPFO pension records to avoid duplication with other pension schemes. • The State Social Welfare Department collaborates with the Treasury and Banking System to ensure that a single individual does not receive multiple pensions.

Annexure F: Description to fill Mid-Term Appraisal Note

Ref	Description
	b) Prospective Larger Beneficiaries **Which population groups or regions have benefitted and are expected to benefit from this scheme?** This section identifies the broader population groups or geographical regions that have benefited and are expected to benefit from the scheme. Unlike specific beneficiaries, these are larger communities or economic sectors impacted by the scheme. *Example:* Highway Expansion Scheme • Beneficiary Population: Over 500,000 residents have benefited from the improved connectivity so far. The scheme has particularly impacted commuters, transport businesses, and logistics providers. • Expected Beneficiaries: The scheme is anticipated to benefit an additional 250,000 residents.
2.3	**a. What is the department's recommendation regarding the Scheme's future course? Please justify your recommendation.** Departments can select the most appropriate option from the list and justify the recommendation concisely with reasoning. **i. Why is it necessary to continue or expand this Scheme?** This question evaluates the relevance, impact, and necessity of continuing or scaling an existing scheme. The response should provide data-driven insights on whether the core issue persists, has evolved, or requires additional intervention. Additionally, it should assess the presence of similar schemes and justify why this initiative remains essential. **What to Include**: • Key Problem Statement – A summary of the original problem the scheme aimed to address and an update on its persistence or evolution. • Evidence & Data – Facts, figures, and impact assessments demonstrating the scheme's continued relevance. • Complementary or Similar Schemes – Analysis of similar initiatives and an explanation of how this scheme either fills a gap or provides unique value. • Unmet Objectives – A status update on scheme goals, highlighting achievements and areas requiring further intervention. *Example 1:* Rural Water Supply scheme The Scheme was launched to improve access to clean drinking water in rural areas. Since implementation, over 70% of targeted villages have received water connections, leading to a 35% reduction in waterborne diseases. However, rapid population growth and seasonal droughts continue to limit water availability for 300,000 people, necessitating further expansion. While similar programs under Jal Jeevan Mission

Annexure F: Description to fill Mid-Term Appraisal Note

Ref	Description
	exist, this scheme focuses on last-mile delivery to remote areas that are not covered by other schemes. *Example 2:* Digital Education Program The initiative was designed to improve digital literacy among students in government schools. Since its launch, 80% of schools in urban districts have adopted digital learning, improving test scores by 15%. However, rural schools continue to face teacher shortages and infrastructure gaps. Expanding this program with teacher training modules and improved IT support is necessary to bridge the learning gap. **ii. Extend Timeline** The **extend timeline option** can be selected when the Scheme remains relevant and feasible but has encountered delays that prevent it from being completed within the originally approved time period. These delays may be due to regulatory approvals, tendering issues, or other factors. **iii. Scale Up** The "Scale Up" option can be selected when the Scheme has demonstrated strong performance and potential for wider impact. This may involve expanding the geographical coverage, increasing the beneficiary base, or deepening the intervention scope **iv. Merge with another Scheme** "Merge with Another Scheme" should be selected when there is overlap in objectives, target beneficiaries, or implementation mechanisms between this Scheme and another ongoing or proposed Scheme. Merging is recommended when it would improve efficiency or reduce duplication. This option should be considered if the integrity and intended outcomes of the Scheme can still be preserved or improved through consolidation. **v. Consider for Scrapping** The "Consider for Scrapping" option should be used in cases where the Scheme is consistently underperforming, has become redundant due to policy changes, or faces persistent implementation challenges that cannot be resolved. **b. Indicate key learnings from the Scheme** This question focuses on identifying lessons from scheme implementation, including what worked well, what challenges were faced, and how the scheme has been adjusted based on real-world feedback. **What to Include**: • Key insights or lessons learned from the execution processes. • Challenges faced during the execution process and how these challenges were addressed or influenced the Scheme's approach. • Adjustments made to improve efficiency, sustainability, or impact. *Example 1:* Rural Water Supply Scheme

Ref	Description
	• Key Learning: Involving community water management groups helped improve maintenance and sustainability. • Challenge: Initial pipeline installation delays due to land acquisition issues. • Solution: Early collaboration with local authorities reduced approval time by 40%. • Adjustment: Implemented rainwater harvesting components to reduce dependency on seasonal water sources. *Example 2:* Digital Education Program • Key Learning: Blended learning (online + offline) resulted in higher student engagement than purely digital approaches. • Challenge: Limited internet access in rural areas impacted adoption. • Solution: Developed offline content modules for remote schools • Adjustment: Introduced teacher-led digital training workshops to improve implementation at the school level.

F.3 Financial and Economic Information

This section outlines estimates for all capital, revenue expenditure required to complete the Scheme. All financial figures should be presented in ₹.
For larger Schemes, early-stage cost estimation may be challenging before conducting feasibility studies. However, best efforts should be made using precedent costs, with an emphasis on including sufficient contingency to account for unforeseen expenses.

Annexure F: Description to fill Mid-Term Appraisal Note

Ref	Description
3.1	**Funding Requirement** Funding refers to the financial allocation required for a scheme's execution across multiple years. Ensure financial sustainability by breaking down the funding requirement for each year, including what has been budgeted, utilized and still required. Include breakdown of funding needs per financial year, including feasibility study costs in the first year, and a clear separation of capital and revenue expenditures to ensure accurate budget allocation. **a. Specify the Scheme's total Budgeted Estimates, Revised Estimates and Actual Expenditure incurred up to date.** This table provides a consolidated financial summary of the scheme, capturing its budgetary planning and actual expenditure performance. It is divided into three key categories: • Budgeted Estimates: The original financial projections made at the inception of the scheme, including total, capital, and revenue expenditures. • Revised Estimates: Updated financial projections based on mid-term reviews, policy changes, or implementation realities. • Actual Expenditure (Up to date): The real amount spent on the scheme till the current reporting date. **Has there been a cost overrun? Explain the reasons. What mitigation measures were put in place and why did they fail?** To determine if there has been a cost overrun, compare the actual expenditure with the revised estimates. If actual spending exceeds the revised budget, a cost overrun has occurred. Common reasons include unforeseen implementation delays, inflation, scope expansion, or misestimation during planning. Mitigation measures may include budget reallocation, phased execution, or cost-cutting strategies. If these measures failed, it could be due to persistent external factors, inadequate controls, or delayed corrective actions. *Infrastructure Scheme Example*: A cost overrun in an infrastructure scheme typically arises from delays in land acquisition, changes in project scope, or escalation in material and labor costs. If actual expenditure exceeds the revised estimates, it indicates a cost overrun. Mitigation measures such as phased execution, renegotiation of contracts, or contingency provisioning may have been attempted. However, these often fail due to regulatory bottlenecks, contractor inefficiencies, or unforeseen technical challenges. *Education Scheme Example:* Cost overruns in education schemes often stem from curriculum expansion, infrastructure upgrades, or increased enrolment. If actual expenditure exceeds the revised budget, it indicates a cost overrun. Mitigation efforts such as prioritizing essential components or deferring non-critical activities may be applied. These may not succeed if

Annexure F: Description to fill Mid-Term Appraisal Note

Ref	Description
	policy mandates change mid-year or if implementation partners face capacity constraints. **b. Specify the Year wise expenditure details against the total budgeted and revised estimates.** (BE/ RE- If the budget has been revised, please specify the RE. If the budget of the scheme has not been revised, please mention the BE) This table is intended to capture the financial performance of the scheme across financial years. For each year, specify whether the figures are based on Budget Estimates (BE) or Revised Estimates (RE)—use RE only if the budget was officially revised, otherwise use BE. Include the total budget for the year, the portion expected to be utilized up to the current date, and the actual expenditure incurred so far. The column for Amount Outstanding or Required should reflect any shortfall or excess in spending. Finally, provide a brief justification for any underutilization or cost overrun, citing reasons such as delays, scope changes, or administrative bottlenecks. Budgeted (Total): Full-year budget allocation. • Financial Year: Mention the relevant financial year, such as 2023–24 or 2024–25. • BE/RE (Total): Specify the total budget allocation for the year. Use Budget Estimate (BE) if the budget was not revised, or Revised Estimate (RE) if it was officially updated. • BE/RE (Up to date): Enter the portion of the BE or RE that was expected to be spent by the current date (e.g., by the end of Q1 or Q2). • Actual Utilized (Up to date): Fill in the actual amount spent so far in the financial year, based on verified expenditure records. • Amount Outstanding or Required: Calculate the difference between the expected and actual expenditure. If the scheme is underspent, mention the remaining amount yet to be utilized. If overspent, indicate the additional funds required. • Justification for Underutilization or Cost Overrun: Provide a brief explanation for any deviation from the budget, such as delays in implementation, procurement issues, scope changes, or unexpected demand.
3.2	**Estimated Total Capital Expenditure (CAPEX)** This table is meant to capture the Estimated Total Capital Expenditure (CAPEX) under various categories relevant to the scheme. Departments may customize or modify the categories based on the nature and scope of the scheme. For each category, the table records the total budgeted amount (either Budget Estimate or Revised Estimate), the portion expected to be utilized up to the current date, and the actual expenditure incurred so far. This helps monitor capital investment progress and identify any financial gaps or overruns. What to fill: • Category: Use the predefined categories or modify them to suit the scheme (e.g., infrastructure, technology, equipment, etc.).

Annexure F: Description to fill Mid-Term Appraisal Note

Ref	Description
	• Description: Provide a brief explanation of the type of expenditure under each category (e.g., civil works, software procurement, land acquisition). • Total Budgeted BE/RE for CAPEX (Total): Enter the full-year capital budget for each category. Use BE if the budget was not revised, or RE if it was officially updated. • Budgeted BE/RE for CAPEX (Up to date): Fill in the portion of the BE/RE expected to be spent by the current date (e.g., till Q2 or Q3). • Actual Utilized CAPEX (Up to date): Enter the actual capital expenditure incurred so far under each category. • Total: Sum up the values across all categories to get the overall capital expenditure figures.
3.3	**Estimated Revenue Expenditure** Revenue expenditure refers to the ongoing costs necessary to maintain and operate the scheme. The table is intended to capture the estimated revenue expenditure required to sustain the scheme over its lifecycle. It includes recurring and operational costs such as salaries, utilities, IT services, and maintenance. Fields marked with an asterisk (*) are mandatory and must be filled. Departments may add or modify categories based on the scheme's specific needs or mark them as Not Applicable (NA) if they do not apply. What to fill: • Category: Use the listed categories or add new ones relevant to the scheme. Mandatory fields (marked with *) must be filled. • Total Budgeted RE (Total): Enter the full-year revenue budget for each category. Use Revised Estimate (RE) if the budget was updated; otherwise, use Budget Estimate (BE). • Total Budgeted RE (Up to date): Fill in the portion of the RE/BE expected to be spent by the current date (e.g., till Q2 or Q3). • Actual Revenue Expenditure (Up to date): Enter the actual revenue expenditure incurred so far under each category. • Total: Sum up the values across all categories to get the overall revenue expenditure figures.
3.4	**Indicate actual expenditures as per the sources of funding** List all the sources of funding for the remaining part of the Scheme, clearly distinguishing between **capital expenditures** (tying back to the total amount in 3.1) and **revenue) expenditures** (tying back to the total amount in 3.3). It is essential to ensure that **contingencies**—funds set aside for unforeseen costs—are properly included within the appropriate funding sources, whether capital or revenue expenditure. A critical examination of these contingencies is required to ensure that they are realistic, justified, and aligned with the Scheme's scope and potential risks. Each funding source should be clearly identified, specifying the amount already utilized and the remaining amount required to ensure successful scheme completion.

Annexure F: Description to fill Mid-Term Appraisal Note

Ref	Description
3.5	**Total Financial Benefits of the Scheme** The financial benefits assessment evaluates the scheme's direct revenue generation potential and the financial savings it can provide to the state. **Revenue Generation** This section outlines the expected direct financial benefits of the Scheme. It includes a breakdown of revenue sources. *Example*: Revenue from construction of a new road/highway, with the assumptions behind these estimates. **a) Toll Revenue** • **Number of vehicles/days**: Let's assume that the road is used by 10,000 vehicles a day. • **Toll rate per vehicle**: The toll rate for cars is ₹50, and for trucks, it's ₹150. Let's assume 80% of vehicles are cars, and 20% are trucks. • **Annual Toll Revenue Calculation**: o Car revenue per day = 10,000×0.8×5010,000×0.8×50 = ₹400,000/day. o Truck revenue per day = 10,000×0.2×15010,000×0.2×150 = ₹300,000/day. o Total revenue per day = ₹400,000 + ₹300,000 = ₹700,000/day. o Annual toll revenue = ₹700,000 × 365 = ₹255,500,000. **b) Leasing of Property (Commercial Use)** • **Lease rate per property**: For example, let's assume a rest stop near the road can be leased for ₹10,000/month. • **Number of properties leased**: Suppose 5 such properties are leased. • **Annual Leasing Revenue**: o Monthly lease revenue = ₹10,000 × 5 properties = ₹50,000/month. o Annual leasing revenue = ₹50,000 × 12 = ₹600,000/year. **c) Advertising Revenue** • **Number of advertising units**: Let's assume 10 billboards are set up along the road. • **Price per advertising unit**: Assume each billboard brings in ₹25,000/month. • **Annual Advertising Revenue**: o Monthly advertising revenue = ₹25,000 × 10 billboards = ₹250,000/month. o Annual advertising revenue = ₹250,000 × 12 = ₹3,000,000/year.

Annexure F: Description to fill Mid-Term Appraisal Note

Ref	Description

d) Public Transport Revenue

- If the road includes **dedicated lanes for buses** or **metro stations**:
  - **Number of passengers/years**: Suppose 500,000 people use the bus services annually.
  - **Ticket price per passenger**: ₹20 per trip.
  - **Annual Public Transport Revenue**:
    - Total annual revenue = 500,000 passengers × ₹20 = ₹10,000,000/year.

Table 1(a) Revenue Generation			
Financial Year	**Source**	**Calculation Formula**	**Annual Cash Flow (₹)**
Year 1	**Toll Revenue**	10,000 × 0.8 × 50 × 365 + 10,000 × 0.2 × 150 × 365	₹255,500,000
Year 2	**Leasing of Property**	10,000 × 5 × 12	₹600,000
Year 3	**Advertising Revenue**	25,000 × 10 × 12	₹3,000,000
Year 4	**Public Transport Revenue**	500,000 × 20	₹10,000,000
	Total Revenue	(Sum of all above)	**₹268,100,000**

Financial Savings

a) Time Savings (Reduced Travel Time)

- **Commuters**: Let's assume 10,000 commuters use the road daily.
- **Time saved**: Assume, on average, each commuter saves 20 minutes per day due to reduced congestion.
- **Average wage**: Let's use ₹300/day as the average wage of commuters (approximately ₹15,000/month).
- **Annual Time Savings Calculation**:
  - Time saved per day = 10,000×20 min=200,000 minutes/day10,000×20 min=20 0,000 minutes/day.
  - Convert to hours: 200,000 min60=3,333 hours/day 60200,000 min=3,333 hours/day.
  - Value of time saved per day = 3,333 hours/day×300 ₹/hour=₹999,900/day3,333 hours/d ay×300 ₹/hour=₹999,900/day.
  - Annual time savings = ₹999,900 × 365 = ₹365,963,500/year.

b) Fuel Savings (Reduced Fuel Consumption)

- **Reduced Reduced fuel consumption**: Let's assume the road reduces fuel consumption by 1 litre per vehicle per day due to better traffic flow.
- **Fuel price**: ₹100 per litre.
- **Number of vehicles**: 10,000 vehicles use the road.
- **Annual Fuel Savings Calculation**:

Annexure F: Description to fill Mid-Term Appraisal Note

Ref	Description

- Total fuel savings per day = 10,000×1 liter=10,000 liters/day10,000×1 liter=10,000 liters/day.
- Total fuel savings per day (₹) = 10,000 × ₹100 = ₹1,000,000/day.
- Annual fuel savings = ₹1,000,000 × 365 = ₹365,000,000/year.

c) Carbon Footprint Reduction (Environmental Savings)

- **Emissions reduction**: Let's assume that reducing fuel consumption by 10,000 litres/day reduces CO2 emissions by 20 tons/day (based on general emission factors for fuel).
- **Social cost of carbon**: Let's assume a value of ₹2,500 per ton of CO2.
- **Annual Carbon Savings Calculation**:
  - Total CO2 savings per day = 20 tons.
  - Total carbon savings per day (₹) = 20 × ₹2,500 = ₹50,000/day.
  - Annual carbon savings = ₹50,000 × 365 = ₹18,250,000/year.

d) Reduced Accidents (Health and Insurance Cost Savings)

- **Accidents reduced**: Assume that the new road design reduces accidents by 10% annually, saving 50 accidents a year.
- **Cost per accident**: The cost of an accident, including medical, insurance, and legal costs, is roughly ₹500,000 per accident.
- **Annual Accident Savings Calculation**:
  - Annual savings from accidents = 50 × ₹500,000 = ₹25,000,000/year.

e) Improved Public Health (Reduced Respiratory Diseases)

- **People impacted**: Assume 1,000,000 people are affected by reduced pollution due to improved traffic flow.
- **Healthcare savings**: Let's assume the reduction in respiratory diseases leads to ₹500 per person per year in savings on healthcare.
- **Annual Public Health Savings Calculation**:
  - Annual savings from health improvements = 1,000,000 × ₹500 = ₹500,000,000/year.

Table 1(b) - Financial Savings to the State

Benefit	Calculation Formula	Annual Monetary Value (₹)
Time Savings	10,000 × 20 min × ₹300/hour × 365	₹365,963,500
Fuel Savings	10,000 × 1 litre × ₹100/litre × 365	₹365,000,000
Carbon Footprint Reduction	20 tons × ₹2,500/ton × 365	₹18,250,000
Reduced Accidents	50 × ₹500,000/accident	₹25,000,000
Improved Public Health	1,000,000 × ₹500/person	₹500,000,000
Total Social Benefits	(Sum of all above)	**₹1,274,213,500**

Annexure F: Description to fill Mid-Term Appraisal Note

Ref	Description
	Total Revenue Calculation (Revenue + Social Benefits) **Source** / **Annual Cash Flow (₹)** **Total Revenue** ₹268,100,000 **Total Social Benefits** ₹1,274,213,500 **Total Revenue (Revenue + Social Benefits)** **₹1,542,313,500**

F.4 Implementation

This section should provide evidence that a basic implementation plan has been considered. Although detail will not be possible or necessary at this early stage, basic planning will require consideration of the main challenges in implementing the Scheme, even though this may be adjusted as detailed planning progresses. Basic information at this stage should include a timeline for implementation and a consideration of the risks involved in implementing the Scheme effectively, as well as a consideration of engagement with stakeholders in the Scheme. The proposed governance and decision-making process should be explained with clear roles and responsibilities. This should also identify which official is accountable for the Scheme.

Ref	Description
4.1	**Outline the timelines of the Scheme:** This table outlines the key stages and substages of the scheme, along with their planned (proposed) and actual timelines. It helps track progress from planning to implementation and ensures accountability. Departments should list all major activities—such as surveys, DPR preparation, approvals, procurement, and execution—along with realistic target dates. Sufficient buffer should be built in to accommodate potential risks or delays. The table can be adapted based on the type of scheme (e.g., infrastructure, service delivery, DBT, training, etc.). What to fill: • Stage: Mention the broad phase of the scheme (e.g., Planning & Surveys, DPR Preparation, Approvals, Tendering). • Substage: Specify the activity within that stage (e.g., Feasibility Study, Environmental Assessment, Bid Evaluation). • Start Date (Proposed/Planned during appraisal): Enter the originally planned start date for the substage. • End Date (Proposed/Planned during appraisal): Enter the originally planned end date for the substage. • Start Date (Actual): Fill in the actual date when the substage began. • End Date (Actual): Fill in the actual date when the substage was completed or is expected to be completed.

Annexure F: Description to fill Mid-Term Appraisal Note

Ref	Description
4.2	**a. Provide the current physical progress of the Scheme.** This table is used to report the physical progress of the scheme during each reporting period (e.g., quarterly). It tracks key performance indicators (KPIs) such as project completion, physical work volume, and safety compliance. For each KPI, the table compares the baseline, planned targets, and actual achievements. It also includes validation details to ensure the reported data is accurate and verifiable. What to fill: • Reporting Period: Mention the quarter or time period being reported (e.g., Q1, Q2). • KPIs: List the key performance indicators relevant to the scheme (e.g., Project Completion %, Physical Work Volume, Safety Compliance). • Measurement Metric: Specify the unit of measurement (e.g., %, meters, number of violations). • Baseline: Enter the starting value or condition before the scheme began. • Planned Target: Mention the expected value or milestone to be achieved by the end of the reporting period. • Actual Completion (Till date): Fill in the actual progress made against the KPI up to the current date. • Validation Done: Indicate whether the reported data has been validated (Yes/No). • Validation Method: Describe how the data was validated (e.g., site inspection, drone survey, third-party audit). • Remarks: Add any relevant notes, observations, or explanations for deviations. •
	b. What major challenges were encountered in ensuring the Scheme's physical progress stayed on schedule, and what solutions were implemented to overcome them? Delays in the physical progress of a scheme often stem from challenges such as land acquisition issues, contractor inefficiencies, adverse weather conditions, or supply chain disruptions. To address these, departments may implement solutions like revising timelines, deploying additional resources, adopting digital monitoring tools, or improving coordination among stakeholders. However, these measures may not always succeed due to persistent external constraints, limited administrative flexibility, or unforeseen technical hurdles. For exampleExample, in an infrastructure scheme, delays in obtaining environmental clearances pushed back the construction phase. Although the department introduced parallel processing and digital tracking to speed up approvals, the lack of inter-agency coordination led to continued delays, affecting overall progress.
4.3	**Mandatory approvals and clearances**

Annexure F: Description to fill Mid-Term Appraisal Note

<table>
<tr><th>Ref</th><th>Description</th></tr>
<tr><td></td><td>The details regarding the requirement of mandatory approvals / clearances of various local, state and national bodies and their availability may be indicated in a tabular form. Also indicate whether there are any critical clearances which, if not addressed could impact the project implementation.
<table>
<tr><th>S. No</th><th>Approvals / Clearances Required</th><th>Agency concerned</th><th>Availability (Y/N)</th></tr>
<tr><td></td><td></td><td></td><td></td></tr>
<tr><td></td><td></td><td></td><td></td></tr>
<tr><td></td><td></td><td></td><td></td></tr>
</table></td></tr>
<tr><td>4.4</td><td>What risks have impacted or may still impact the Scheme's timeline? List each. What measures are being incorporated to mitigate such risks/delays?
Focus on identification and assessment of Scheme risks and how these are proposed to be mitigated. Risk could include legal/contractual risks, environmental risks, revenue risks, scheme management risks, regulatory risks, etc.:
<table>
<tr><th>Risk Category</th><th>Description</th><th>Rating (Low/Moderate/High)</th><th>Mitigation Measures</th></tr>
<tr><td>Sector Strategies and Policies</td><td></td><td></td><td></td></tr>
<tr><td>Design of the Project –
▪ implementation design,
▪ technological complexities,
▪ climate risks
▪ others</td><td></td><td></td><td></td></tr>
<tr><td>Institutional Capacity for implementation (including capacity of participating States and local bodies)</td><td></td><td></td><td></td></tr>
<tr><td>Financial Management and Procurement (including capacity)</td><td></td><td></td><td></td></tr>
<tr><td>Environmental & Social Impact</td><td></td><td></td><td></td></tr>
<tr><td>Others -
▪ legal
▪ regulatory
▪ others (specify)</td><td></td><td></td><td></td></tr>
</table>
Some of the risks are as below:
<table>
<tr><th>Risk</th><th>Description</th><th>Rating (Low/Moderate/High)</th><th>Mitigation Measures</th></tr>
<tr><td>Single bid leading to failure</td><td>Only one bid received, resulting in tender failure and delays</td><td>Moderate</td><td>Broaden advertising reach, engage potential bidders early, and simplify the bidding process</td></tr>
<tr><td>Increase in costs of raw materials</td><td>Rising prices of materials over time leading to budget overruns</td><td>High</td><td>Secure long-term contracts with suppliers, include contingency funds in the budget, and monitor market trends</td></tr>
</table></td></tr>
</table>

Annexure F: Description to fill Mid-Term Appraisal Note

Ref	Description			
	Delayed approvals	Slow approval processes causing delays	Moderate	Engage stakeholders early, follow up regularly, and establish a clear process timeline
	Inadequate resource allocation	Insufficient resources causing Scheme delays	High	Conduct thorough resource planning, regularly review resource needs, and allocate additional resources if required
	Contractor performance issues	Poor performance or non-compliance of contractors leading to quality and time issues	Moderate	Conduct thorough vetting, include performance clauses in contracts and monitor contractor performance
	Permits and clearances delays	Delays in obtaining necessary approvals	High	Engage with respective authorities early, understand the permission processes and allocate time for potential delays
	Supply chain delays	Disruptions in supply chains impacting material availability	Low	Diversify suppliers, establish alternate supply routes, and maintain buffer stock of critical materials
	Labor shortages	Lack of skilled labour leading to Scheme delays	Medium	Provide capacity development drives, prepare a recruitment plan and collaborate with labour agencies
	Design changes	Mid-work design changes causing rework and delays	Low	Establish a design review process with timelines, involve stakeholders in design phase, and limit changes post approval
	Stakeholder conflicts	Disputes leading to delays	High	Facilitate regular communication, set timelines for resolution, resolve conflicts early and involve mediator if needed
	Climate change and environmental risks	Increased frequency of extreme weather events, natural disasters, and environmental degradation affecting progress.	High	Conduct Environmental Impact Assessments (EIA), implement climate resilient designs, and develop emergency response plans
	L-Low; M-Medium; H-High.			

Annexure F: Description to fill Mid-Term Appraisal Note

<table>
<tr><th>Ref</th><th>Description</th></tr>
<tr><td>4.5</td><td>

List the agencies, utilities, regulatory institutions, or other stakeholders involved in the implementation of the proposed Scheme?

Indicative template for DBT scholarship Scheme/Scheme as an example is as below:

<table>
<tr><th>Stakeholder</th><th>Role</th><th>Concerns and issues</th></tr>
<tr><td>Government Agency</td><td>Oversee the scholarship administration</td><td>Changing priorities, Effective disbursement, transparency, bureaucratic delays, and technical issues</td></tr>
<tr><td>Scholarship Recipient</td><td>Received scholarship directly into their bank accounts</td><td>Timely receipts and bank account issues</td></tr>
<tr><td>Educational Institutes</td><td>Schools, colleges, and universities where students enrol</td><td>Academic and financial benefits to students and verifying eligibility</td></tr>
<tr><td>Financial Institutions</td><td>Process and transfer scholarship funds</td><td>Efficient processing, frauds, and technical glitches</td></tr>
<tr><td>Parents/guardians</td><td>Ensure funds are received in time and used for education</td><td>Lack of ability to track the usage</td></tr>
<tr><td>Community Organizations</td><td>Support students in applying and managing scholarships</td><td>Limited reach and lack of resources</td></tr>
</table>

'**Stakeholders**' are interested parties in the Scheme. They are either persons or representative bodies that have an interest in the outcome of the proposal or those that may be affected by it. List them here.

Many implementation problems arise due to the need for liaison with utilities and regulatory bodies not being addressed at an early enough stage. This is a common cause for delays in many Schemes across the world, and early planning and contact with these bodies will help to plan the work and negotiations required to keep a Scheme on track. Therefore, please list all the agencies, utilities and regulatory bodies that will need to be consulted – in particular. Also write a very brief description of the legal/regulatory/permitting/institutional issues that need to be discussed with each of these bodies.

Clearly identify the Scheme stakeholders who have different roles to play in the Scheme planning, implementation and delivery. Stakeholders should not just be Government Departments but may be industry members, farmer unions, common citizens groups etc. who may act as influencer or mode for end point service delivery. Also, what role other departments would play in Scheme delivery (ex. Beneficiary identification, assist in delivery end point).

Against each of the stakeholders, indicate whether they have been consulted and if so, in a word or two, whether they support or do not support the Scheme. This can be ascertained through initial contact / consultation.

The detailed role needs to be captured (ex-regulatory, coordination related or involvement in service delivery) and the point of involvement (ex in

</td></tr>
</table>

Annexure F: Description to fill Mid-Term Appraisal Note

<table>
<tr><th>Ref</th><th>Description</th></tr>
<tr><td></td><td>planning, implementation etc.). Ex. The common service centre can be used at end point for delivery of multiple services targeted at end citizens, associations can be stakeholders for any trader specific Schemes.</td></tr>
<tr><td>4.6</td><td>What resources (technical, manpower scheme management, field implementation etc.) are required to ensure scheme success? Does the Department possess enough capacity and personnel to complete the remaining components of the Scheme? If not, what measures are proposed to increase the Department's capacity?
The total human resource/personnel required to implement the Scheme, including capacities of the Scheme/Scheme, the personnels at various levels like for Scheme management, technical capacity, field management and implementation, the department to think through and share the need of the resources like PMU/contractual resource, etc. for sustainable delivery.

The physical resources necessary to implement the Scheme in the required timescale should be listed here with approximate quantities and lead times for procuring them. State whether these resources are available domestically or might need to be imported; from where and what availability is possible. Resources can include manpower, technical advice, Capacity Building etc.
An indicative template is as below:
<table>
<tr><th>Resource</th><th>Description</th><th>Department's capacity</th><th>Proposed measures to increase capacity</th></tr>
<tr><td>Technical Resources</td><td>IT infrastructure, software for application processing, databases, and online platforms</td><td>Limited and need for upgraded systems</td><td>Infrastructure, procure specialized software</td></tr>
<tr><td>Scheme Management</td><td>Scheme Managers, planning tools, monitoring and evaluation framework</td><td>Insufficient PM personnel</td><td>Hire experienced Scheme managers, provide training for existing staff</td></tr>
<tr><td>Field Implementation</td><td>Field Officers for outreach, verification and support to farmers</td><td>Moderate number of field staff, high workload</td><td>Recruit additional field officers, establish partnerships with NGOs</td></tr>
<tr><td>Financial resources</td><td>Budget allocation, administrative costs and contingency funds</td><td>Adequate for current scale</td><td>Identify additional sources of funding through collaborations</td></tr>
<tr><td>Human Resources</td><td>Administrative staff, application evaluators, customer support teams</td><td>Staff shortage and overburdened team</td><td>Increase staffing levels, provide professional development opportunities</td></tr>
<tr><td>Training</td><td>Training program for staff on application processing IT systems and customer service</td><td>Inadequate training program available</td><td>Develop comprehensive training modules, conduct regular training capacity building workshops</td></tr>
<tr><td>Marketing and outreach</td><td>Awareness campaigns, marketing material</td><td>Limited reach, need for enhanced</td><td>Targeted outreach programs, use of</td></tr>
</table>
</td></tr>
</table>

Annexure F: Description to fill Mid-Term Appraisal Note

Ref	Description			
		and public engagement	communication strategies	social media, radio and print media.
	Policy makers	Guidelines and quality assurance measures	Updates required on existing policies	Based on feedback received update the policies regularly

Annexure G:
Description to fill the
Evaluation Note

G Annexure G: Description to fill Evaluation Note

G.1 Executive Information and Scheme Profile

This section provides a high-level summary of key scheme details. Fill this section after completing the rest of the template with concise responses.

Ref	Description
1.1	**Project Title** State the official, full title of the scheme (working titles can be used initially, but the final title should be used once the scheme is accepted and issued with a reference number).
1.2	**Scheme ID Number** The Scheme ID Number is assigned after the scheme is submitted/registered at the Planning Department.
1.3	**Description of the Project** *(Provide a 2-3 lines summary of the project and its objectives in two to three lines.)*
1.4	**Sector and Scheme Classification** Indicate the scheme under an appropriate sector by ticking the appropriate option(s): ☐ Agriculture and Animal Husbandry ☐ Housing and Urban Development ☐ Food and Civil supplies ☐ Education ☐ Health & Family welfare ☐ Industries ☐ Labour ☐ Infrastructure (transport, water resources and supply, power, wastewater, etc.) ☐ Planning ☐ Rural development ☐ Social Welfare ☐ Sports ☐ Technology & Innovation ☐ Defence ☐ Environment, Forest and wildlife ☐ Renewable energy ☐ Tourism ☐ Others _____ Specify the relevant **sub-sector** it pertains to (e.g., Roads, Medical Infrastructure, School Equipment, IT Infrastructure etc.).
1.5	**a. Who were the Primary Stakeholders Involved in the Scheme?** *(e.g., Government, Beneficiaries, Implementation Partners)*

Annexure G: Description to fill Evaluation Note

Ref	Description
	List the key entities involved in the planning, execution, and monitoring of the scheme. This typically includes: • Government departments or agencies responsible for funding and oversight • Beneficiaries who directly receive the services or benefits • Implementation partners such as contractors, NGOs, or service providers **Infrastructure Scheme Example**: In a rural road development project, the primary stakeholders included the Public Works Department (PWD) as the executing agency, local village councils as community representatives, and contracted construction firms for implementation. Beneficiaries were residents of the connected villages. **Education Scheme Example:** For a digital learning initiative in government schools, stakeholders included the State Education Department, school administrations, IT vendors for hardware and software deployment, and students and teachers as direct beneficiaries and stakeholders.
	b. Indicate external collaboration and its purpose, if any. *(e.g., Think Tank, Academia, Subject Matter Experts)* Mention any external organizations or experts that collaborated on the scheme. These could include: • **Think tanks** for policy design or impact analysis • **Academic institutions** for research, evaluation, or training • **Subject matter experts** for technical guidance or innovation • **Private sector partners** for technology, logistics, or service delivery Also describe the **purpose** of the collaboration—such as improving design, ensuring quality, accelerating implementation, or conducting assessments. **Infrastructure Scheme Example**: In a rural road connectivity project, the department collaborated with a civil engineering institute to conduct terrain feasibility studies and optimize road design. A third-party audit firm was also engaged to validate construction quality and safety compliance. **Education Scheme Example**: For a digital learning initiative, the department partnered with a local university to design teacher training modules and evaluate learning outcomes. An ed-tech company provided the digital content and platform, ensuring alignment with curriculum standards.

G.2 Evaluation of the Scheme

Annexure G: Description to fill Evaluation Note

Ref	Parameter/ Response
Financial Evaluation	
The financial evaluation section provides an overview of the scheme's budgeted allocations and actual expenditures, helping assess cost efficiency, utilization, and any deviations from planned financial targets	
2.1	**What were the financial estimates and actual expenditures of the Scheme?** This section captures the scheme's projected capital and revenue expenditures at inception and compares them with actual spending to assess financial performance and resource utilization. What to fill: • **Capital Expenditure**: Enter the amount initially budgeted for long-term assets like infrastructure or equipment, and the actual amount spent on these items during the Scheme. • **Revenue Expenditure**: Provide the projected operational costs such as salaries, maintenance, and other recurring expenses, along with the actual expenditure incurred. • **Total Budget**: Sum of capital and revenue expenditures—fill in both the total estimated budget at the start and the actual total spent.
2.2	**What are the reasons for underutilization/ cost overruns, if any, in the Budgeted Expenditure?** Provide a brief explanation of any gaps between the budgeted and actual expenditures. Underutilization may occur due to delays in project approvals, procurement issues, or administrative bottlenecks. Cost overruns can result from unforeseen price escalations, scope changes, or implementation inefficiencies. *Infrastructure Scheme Example*: In a road construction project, underutilization might happen due to delayed land acquisition, while cost overruns could arise from increased material costs or changes in design specifications. *Education Scheme Example:* Underutilization may occur if planned training programs or infrastructure upgrades in schools are postponed, while cost overruns could result from expanding the scope to include additional schools or higher-than-expected costs for digital learning tools.
Timelines	
Timelines refer to the planned duration and key milestones of the Scheme, and are assessed to understand adherence to schedules, identify delays, and evaluate their impact on implementation and outcomes.	

Annexure G: Description to fill Evaluation Note

Ref	Parameter/ Response
2.3	**What were the planned and actual timelines of the Scheme?** The table captures the planned and actual implementation timelines of the Scheme. It helps evaluate whether the Scheme was executed as scheduled and highlights any delays or extensions that may have impacted its effectiveness or delivery. What to fill: • Start Date: Mention the date when the Scheme was originally scheduled to begin and the actual date it commenced. • End Date: Provide the planned completion date and the actual date when the Scheme concluded. • Duration: Indicate the total time span between the start and end dates—both as planned and as actually observed—to assess any deviations in implementation timelines.
2.4	**Was the Scheme delayed or on time? What were the reasons for delay/ How was the Scheme able to achieve on time implementation?** This section evaluates whether the Scheme was implemented as per the planned schedule. If there was a delay, mention the key reasons such as administrative approvals, procurement issues, or external factors. If the Scheme was completed on time, highlight the enabling factors like efficient planning, timely fund release, or strong coordination mechanisms. *Example – Delay (Infrastructure Scheme):* A rural road project was delayed due to prolonged land acquisition processes and monsoon-related disruptions, pushing the completion timeline by six months. *Example – On-Time (Education Scheme):* A digital learning initiative was implemented on schedule due to pre-approved vendor contracts, streamlined procurement, and proactive monitoring by the district education office.
Input-Output- Outcome Monitoring Input-Output-Outcome monitoring refers to tracking resources used, activities conducted, and results achieved to assess the efficiency, effectiveness, and impact of the Scheme.	

Annexure G: Description to fill Evaluation Note

Ref	Parameter/ Response
2.5	**What were the intended inputs (resources required), outputs (results expected from applying the inputs) and outcomes (long-term benefits).** **Outcomes should be outlined for both direct beneficiaries of the project and the overall socio-economic impact of the project.** Department to indicate only top 5 key performance indicators that were used to monitor the project performance, along with unit of measurement and target to be achieved along with timelines. These KPI's should align with the larger goals outlined in the State's five-year agenda. Clearly define what are the inputs to the project, how they are mapped to the outputs and outcomes. KPIs should be objective and clearly measurable. • Inputs refer to the resources, including funds, personnel, and equipment, that are allocated to a government scheme at the outset in order to achieve the desired outcomes. • Outputs encompass the direct products, services, or benefits that are produced as a result of utilizing the allocated inputs within a government scheme. • Outcomes represent the changes, effects, or impacts that are brought about by the outputs generated through the utilization of inputs in a government scheme, contributing to the broader objectives and goals. *(These are intended outcomes identified at the onset of the project. These should be linked to the larger goals outlined in the state's five-year agenda. Departments should plan for mid-term reviews to ensure alignment between project objectives and outcomes.)*

Annexure G: Description to fill Evaluation Note

Ref	Parameter/ Response

	KPI	Milestone	Baseline	Target	Actual	Measurement Unit	Method of measurement	Data Source	Frequency of Measurement	Validation
*Input										
*Output										
Outcome										

Example: Development of a new school building

Stage	KPI	Milestone	Baseline	Target	Actual	Measurement Unit	Method of Measurement	Data source	Frequency of Measurement	Validation
Input	*No. of operational classrooms to be developed*	Q1	0	10	9	Number	Physical inspection and review of site development reports	On-site records and geo-tagged images	Quarterly	Third party audit & verification
		Q2		5	4					
		Q3		5	7					
Output	*Number of students enrolled in the school*	Y1	0	400	300	Number	Analysis of attendance and admission records	Admission data and manual attendance logs	Annual	Validated by local education authority
		Y2		600	500					
Outcome	*Increase in literacy rates in rural areas*	Y1	60%	85%	70%	%	Census and education department surveys	School records, literacy reports	Annual	Independent study

Beneficiary Details

Beneficiary details refer to the demographic and socio-economic profile of individuals or groups targeted or reached by the Scheme, used to assess coverage, equity, and relevance of interventions.

2.6	**Who were the intended beneficiaries of the project?** Projects can have specific, pre-identified beneficiaries (e.g., students receiving scholarships, BPL families receiving welfare benefits) or larger prospective beneficiaries (e.g., a road project that benefits all commuters, a hospital that serves the public.)

Annexure G: Description to fill Evaluation Note

Ref	Parameter/ Response
2.7	**How many intended and other beneficiaries have been served?** This question captures the number of individuals or groups who were originally targeted by the Scheme (intended beneficiaries) and those who were additionally served (other beneficiaries). It helps evaluate the reach, inclusivity, and effectiveness of the Scheme in addressing the needs of the population. *Example: Highway Expansion Project* The primary beneficiaries are residents and commuters who will benefit from improved connectivity and reduced travel time. Additionally, local businesses and communities along the highway will benefit from increased economic activity. A population of nearly 10,000 is expected to benefit from this road project. *Example: School Infrastructure Improvement Program* Under a school infrastructure improvement program, the intended beneficiaries were students enrolled in government schools within selected districts. However, the Scheme also benefited other groups such as teachers (through improved teaching facilities) and students from neighbouring areas who enrolled after the upgrades. For instance, while the Scheme aimed to serve 10,000 students, it eventually reached over 12,500 individuals including indirect beneficiaries.
2.8	**Give a summary of Beneficiary Experience and Feedback. How was the beneficiary feedback collected?** This question aims to understand how beneficiaries perceived the Scheme and whether their needs were effectively met. Feedback was collected through tools such as surveys, community meetings, and helplines to capture satisfaction levels, challenges faced, and suggestions for improvement. *Education Scheme Example:* Students and parents were surveyed to assess satisfaction with upgraded school facilities and learning resources, revealing positive responses on infrastructure but highlighting gaps in digital access. *Infrastructure Scheme Example:* In a rural electrification project, household-level interviews and village meetings were conducted to gather feedback on service reliability and coverage, helping identify areas needing technical fixes and extended support.
Overall Feedback on the Scheme	

Annexure G: Description to fill Evaluation Note

Ref	Parameter/ Response
2.9	**Did the Scheme meet its objectives as set during the start of the Scheme? If yes, how was the scheme able to successfully meet the outcomes? If not, what were the challenges faced?** This question assesses whether the Scheme achieved its intended goals and outcomes. If the objectives were met, describe the key success factors such as effective planning, timely execution, stakeholder coordination, and adaptive management. If not, outline the challenges faced—these could include delays, resource constraints, policy changes, or implementation gaps. *Education Scheme Example:* A school enrollment drive aimed to increase admissions by 20% in underserved areas. The objective was met due to strong community outreach and incentives like free uniforms and meals. However, challenges in teacher availability affected learning outcomes in some regions. *Infrastructure Scheme Example:* A rural road connectivity project aimed to link 50 villages to nearby markets. While 40 villages were successfully connected due to efficient contractor management and timely fund release, the remaining were delayed due to land acquisition issues and adverse weather conditions.
2.10	**What were the major challenges faced during the Scheme implementation? How did the Department overcome these challenges?** This question explores key obstacles encountered during the Scheme's execution and the strategies adopted to address them. Challenges may include delays in approvals, logistical issues, staffing shortages, or coordination gaps. Departments often overcome these through adaptive planning, stakeholder engagement, use of technology, or policy-level interventions. *Infrastructure Scheme Example:* In a rural road construction project, challenges included land acquisition delays and contractor shortages. The department resolved these by setting up fast-track approval committees and onboarding additional contractors through emergency tenders. *Education Scheme Example:* During a digital learning rollout, limited internet access and lack of teacher training posed major hurdles. These were addressed by distributing offline learning kits and organizing crash training programs for educators.

Annexure G: Description to fill Evaluation Note

Ref	Parameter/ Response
2.11	**Any examples of best practices or Case Studies that the Department would like to highlight?** This question seeks to showcase successful strategies, innovative approaches, or impactful case studies from the Scheme's implementation that can serve as models for replication or scaling. *Infrastructure Scheme Example:* In the rural road project aimed at increasing market access, a district in Punjab implemented a GPS-based progress tracking system for contractors. This allowed real-time updates on construction status and helped the Department intervene quickly in case of delays, ensuring timely completion and better transparency. *Education Scheme Example:* In the school enrollment drive, a district partnered with local school management committees and village-level influencers to conduct door-to-door campaigns. This community-driven approach led to a noticeable increase in enrollment, especially among children from migrant families, and is now being considered for replication in other blocks.
2.12	**Any positive or negative externalities observed during Scheme implementation?** This question explores unintended effects—both beneficial and adverse—that emerged during the Scheme's implementation. Positive externalities may include spillover benefits to non-target groups or sectors, while negative ones could involve environmental, social, or economic disruptions. *Infrastructure Scheme Example:* In the rural road project aimed at increasing market access, a positive externality was the rise in local employment due to construction activities. However, a negative externality observed was temporary disruption to agricultural activities during roadwork due to blocked access routes.
2.13	**Are there any environmental impacts of the scheme? What mitigation measures were incorporated during scheme implementation?** This question seeks information on whether the scheme had any adverse or notable effects on the environment during its planning or execution. It also asks for details on the steps taken to reduce, manage, or prevent those environmental impacts. This may include changes to land use, pollution levels, biodiversity, or natural resource consumption, along with any corrective or preventive actions integrated into the scheme. *Infrastructure Scheme Example:* During the construction of physical infrastructure such as roads, bridges, or public buildings, activities like excavation and material transport may lead to dust generation, vegetation clearance, and noise pollution. To mitigate these impacts, measures such as tree plantation along project sites, use of dust suppression techniques, and scheduling construction to avoid sensitive seasons are often incorporated. Environmental assessments may also be conducted to guide planning and ensure compliance with sustainability norms.

Annexure G: Description to fill Evaluation Note

Ref	Parameter/ Response
2.14	**Was there any independent third-party assessment study undertaken? If yes, briefly summarise the findings. If not, do you suggest an independent 3rd party assessment?** This question seeks to determine whether an independent evaluation of the scheme was conducted by a third-party agency, institution, or expert group. If such an assessment was undertaken, the response should include a brief summary of the key findings, such as effectiveness, efficiency, inclusiveness, or areas for improvement. If no third-party assessment was carried out, the response should indicate whether such an evaluation is recommended, and why it might be beneficial—for example, to validate outcomes, improve transparency, or guide future planning. *Infrastructure Scheme Example:* An independent third-party assessment was conducted to evaluate the quality and impact of infrastructure developed under the scheme. The study highlighted improvements in connectivity and access to services, but also pointed out delays due to procurement issues and suggested stronger monitoring mechanisms. In cases where no assessment was done, it may be advisable to commission one to objectively measure long-term sustainability and community benefits. *Education Scheme Example:* A third-party evaluation was carried out to assess the implementation of educational facilities and interventions. The findings indicated positive outcomes in terms of increased enrolment and improved learning environments, while also recommending better teacher training and infrastructure maintenance. If no such study was undertaken, an independent assessment could help identify gaps in service delivery and inform future policy decisions.

Annexure G: Description to fill Evaluation Note

Ref	Parameter/ Response
2.15	**Learnings from the ground and suggestions for the future.** This question aims to capture practical insights gained during the implementation of the scheme at the field level. It focuses on identifying what worked well, what challenges were encountered, and how these experiences can inform future planning and execution. The response should reflect feedback from stakeholders, implementation teams, and beneficiaries, and include suggestions for improving design, delivery, monitoring, or sustainability of similar schemes in the future. *Infrastructure Scheme Example:* Field-level implementation revealed that timely coordination between departments and availability of raw materials were critical to maintaining construction schedules. However, delays in land acquisition and limited community engagement affected progress in some areas. A key learning was the importance of early stakeholder consultations and streamlined approval processes. For future schemes, it is suggested to establish a single-window clearance system and involve local communities from the planning stage to ensure smoother execution. *Education Scheme Example:* On-ground experience showed that infrastructure upgrades in schools led to improved attendance and engagement. However, challenges such as shortage of trained staff and delays in fund disbursement impacted the overall effectiveness. One important learning was the need for capacity-building programs for teachers and school administrators. For future initiatives, it is recommended to integrate digital monitoring tools, ensure timely resource allocation, and strengthen partnerships with local education bodies to enhance delivery and accountability.

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